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ABSTRACT

Technological revolution, knowledge explosion, and population expansion are necessitating a new role definition for State education agencies. This new role should be tailored through an alliance between the State agency and citizens and institutions with interests in education. Such an alliance should ensure that the structure of the State education agency provide creative leadership and assist the development of a planning mechanism to insure that final decisions of the agency are both defensible by and reflective of the needs and wishes of the people. The State agency, in conjunction with citizens, must (1) seek to improve learning environments, opportunities, and procedures; (2) strengthen the organization, operation, and support of education; (3) facilitate research, development, demonstration, and dissemination; and (4) encourage adequate evaluation of education for a changing society. (Author/MLF)

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EMERGING STATE RESPONSIBILITIES FOR EDUCATION

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IMPROVING STATE LEADERSHIP IN EDUCATION

Denver, Colorado
1970

Arranged and Edited by

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Introduction

Society and education are interdependent. Modern society with its increasing technological and apparently emerging humanistic orientation requires more and better education than at any previous time for a larger proportion of the population if it is to function effectively. But better education for increasing numbers of people provides the basis for new inventions and discoveries that lead to better insights and further changes in society. Those, in turn, will require additional improvements in education for a still larger proportion of the population. The traditional provisions for education have long since ceased to meet the needs of the rapidly changing society in which we live.

Important improvements have been made in education in a number of schools and school systems throughout the nation during the past decade. Unfortunately some of these changes have lagged behind the needs and a substantial number of schools have made only minor improvements. A large proportion of the younger generation probably will continue to be handicapped because of inadequate or inappropriate educational opportunities and, as a result, national progress is likely to be retarded. Much greater and better coordinated effort is urgently needed to facilitate the improvement of learning environments, opportunities and procedures for all who can benefit themselves as well as society from better and more relevant education.

In the complex society in which we live only a limited number of the nearly 20,000 school systems in the nation are in a position to make significant progress in planning and effecting changes needed in education. Many of the current problems are too complex and intertwined to be solved by a multiplicity of local school systems on the basis of their own resources and initiative. Most of these systems will have to rely on the state and federal governments for funds, and to some extent, for leadership and services. The federal government can assist by providing funds and encouragement but cannot legally intervene directly except through decisions by the United States Supreme Court on the basis of appeals relating to assumed violations of provisions in the federal constitution.

In this country, each state is basically responsible for the provisions for education within its borders. Each state, therefore, should be expected to assume the major responsibility not only for developing defensible and viable plans for the organization and support of education but also for providing the leadership and services that are essential for planning and effecting improvements in education.

The need for some minimum state standards and regulations relating to education has been recognized for many years but the significance and

importance of adequate state provisions for education and for the leadership and services needed for the improvement of education are just beginning to be understood even by the leading citizens in a large proportion of the states. During coming years such provisions will become crucial in every state.

The major purpose of the project, *Improving State Leadership in Education*, is to help not only legislators and other state officials and leaders, but also the educators and lay citizens in local school systems and the officials, staff members and students in colleges and universities to understand the importance of these significant changes in orientation and to assist in bringing them about. The Policy Board, the Project Committee and the staff for this project are convinced that the accomplishment of this important purpose will necessitate the bona fide involvement of substantial numbers of people in every state in serious study and discussion of the pertinent developments, issues and alternatives. They also believe that appropriate publications and reports on promising developments need to be supplemented by carefully prepared multimedia materials designed to provide pertinent background information for these studies and discussions.

In this publication, the implications of recent and prospective changes in society for the emerging roles, functions and relations of state education agencies primarily concerned with the improvement of provisions and procedures needed for planning and effecting improvements in elementary and secondary education are considered in some detail. Some of the major alternatives in organization and procedures are also discussed.

With the encouragement of the Policy Board and Project Committee, the staff has collaborated with a committee from the Texas state education agency in developing multimedia materials to be utilized for a series of conferences that are to be held in various parts of the nation during the coming months and are to be concerned with emerging state responsibilities for education and pertinent problems and issues.

The project staff, additionally, has arranged for several cooperative studies dealing with related developments in education, and for the preparation of a number of "case studies" each of which is concerned with promising improvements in one or more aspects of education in a state that have been initiated or encouraged by state leadership.

A later publication will consider in detail the state role and the processes involved in planning, implementing and evaluating improvements in education. Pertinent multimedia materials, prepared under the direction of a committee from the Utah state education agency with the assistance of the project staff, will also be developed and utilized for a second series of regional and state conferences on problems and issues relating to planning and effecting needed changes in education.

Byron W. Hansford, *Chairman, Policy Board,* and
Edgar L. Morphet, *Project Director*

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PART ONE

SOCIETY, EDUCATION AND STATE EDUCATION AGENCIES

Chapter 1

Implications of Societal Changes*

Sooner or later every significant change in a society results in changes in the institutions and agencies it has established. Conversely, changes in important institutions tend to bring about some changes in the society.

In almost every nation, the schools and institutions of higher learning are considered among its most important agencies or organizations because of the potential contributions of education to the well-being and progress of the people. But any educational agency, institution or organization that fails to adjust to the needs of a changing society will seriously retard progress and will either be significantly modified by the society itself or may even be replaced by a new kind of agency or institution.

In the United States, on the basis of provisions in the federal constitution that reserve to the states any responsibilities not specifically assigned to the federal government, the basic responsibility for education rests with the citizens of each state. In turn, much of this responsibility has been delegated by most states to local school districts authorized by the constitution or the legislature. However, the federal government has a continuing interest in the education of the citizens of the nation and no state or local school system can violate, without the risk of challenge in the courts, any of the safeguarding provisions incorporated in the federal constitution.

In an attempt to meet its responsibilities for education, every state has established one or more agencies for education. In a few states, one agency has been assigned the responsibility for all levels and kinds of education. In most states, one agency — usually referred to as the *state*

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*Prepared by *Kenneth H. Hansen*, Professor of Education, Washington State University, and *David L. Jesser*, Associate Director, Improving State Leadership in Education.

education agency—is primarily responsible for elementary, secondary and vocational-technical education and one or more separate agencies are responsible for other aspects of education including the institutions of higher learning.

Changes in the needs of society, or newly recognized needs, have resulted in many modifications in educational programs and provisions during prior years. These modifications have usually lagged considerably behind the actual needs, but in many instances they have contributed to important changes in the society itself.

Because of the rapid pace of change in modern society, the stresses and strains on the schools and institutions of higher learning have become increasingly serious during the past few years. It should be apparent that all educational institutions must make appropriate adjustments if they are to continue to contribute to progress.

This situation similarly confronts state education agencies, the people, the governor and the legislative bodies in every state with new challenges and demands. Unless these officials and agencies are prepared to provide effective leadership and needed services in planning and helping to effect necessary improvements in education, the schools and other educational institutions will increasingly fail to meet emerging needs and, as a result, progress in the states and throughout the nation will be retarded.

Every citizen in a state should be deeply concerned and seek to become seriously involved in the process of attempting to determine the implications of prospective changes in society for education and for the emerging roles, functions and relations of state education agencies, local school systems and other educational institutions and organizations. At stake is not only the future of some of the most important American institutions—because their primary concern is with education—but also the progress and welfare of the people of each state and of the nation.

Some Implications of Societal Changes for Education

Almost everyone is aware of the fact that many important changes will almost certainly occur in American society during the next few years, but probably only a few have more than a vague idea about the implications of some of these changes for society and for education. Sharp differences of opinion and even major controversies about some of the prospective changes and their implications seem almost inevitable. Unless steps are taken promptly to narrow the traditional gap between the *expressed beliefs and values* of the people and the *application of these beliefs and values* (realistically redefined and restated as considered necessary) to the operating programs and procedures of the institutions, agencies and organizations that function in the society, these controversies seem likely to become even more critical.

We say we believe in equality of opportunity for all, but the evidence

shows clearly that we are not even closely approaching equality. We say we do not believe in discrimination, yet the evidence shows that we condone discrimination in many aspects of life. We say we believe that everyone should be encouraged and have the opportunity to develop to the maximum of his potential, yet we do not provide that encouragement or opportunity for a substantial proportion of the population.

We are disturbed by what we choose to call the "generation gap," yet comparatively few people seem to be enough concerned about the most fundamental gap—*the difference between what we say we believe and what we actually do in everyday life*—to become seriously involved in a major attempt to assure that our on-going practices are consistent with our expressed beliefs. This seems to be one of the major challenges confronting our society and its institutions, agencies and organizations.

State education agencies, as well as all other educational agencies, institutions and organizations, must recognize these challenges and find ways of cooperating effectively to meet the emerging needs of education and of society.

The Contingent Society

The American society has been described in a variety of ways, each of which reflects a particular point of view—optimistic or pessimistic—relating to the times. It has been referred to as the *great* society, the *affluent* society, the *technological* society, and — gloomily — the *bankrupt* society. Each of the adjectives used may be descriptive of certain characteristics of this society. Each, however, tends to reflect a writer's (or speaker's) point of reference.

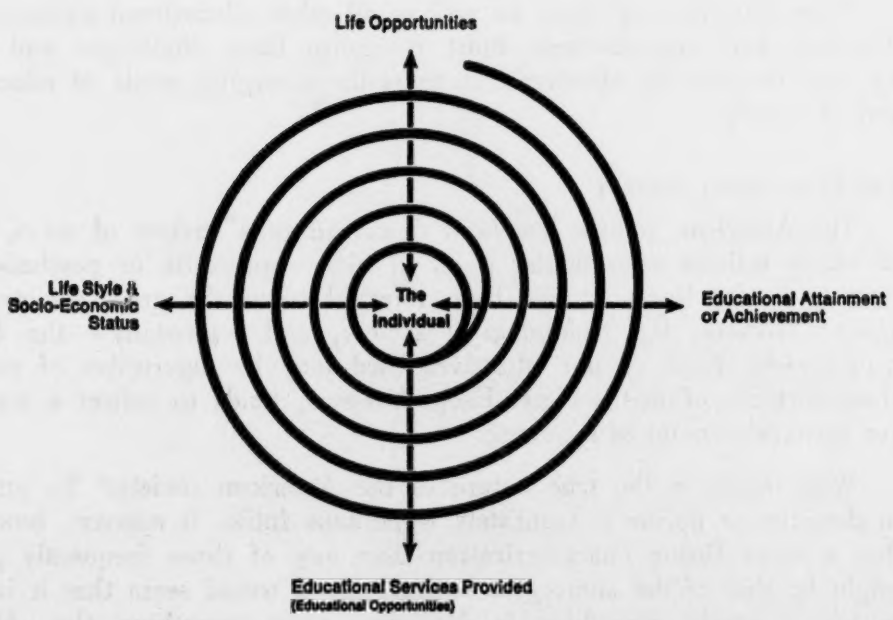
What really is the true nature of the American society? To attempt to describe or define it accurately is perhaps futile. It appears, however, that a more fitting characterization than any of those frequently given might be that of the *contingent* society, for it would seem that it is one in which nearly everything is dependent upon something else. Almost every event, change, movement, goal or value of or in the society appears to be contingent upon other similar and/or related manifestations. Little if anything is fixed, absolute, certain or permanent.

The contingent nature of the society may be illustrated in a variety of ways, but can perhaps be meaningfully illustrated by a brief consideration of the educational system itself. Education is a social enterprise that exists neither in splendid isolation from the society nor in direct conflict with the other components of the society. It exists as a part of the overall fabric of society, and is related to all other components. What happens in or to education has some effect on society, and what happens in or to society will have some effect on education.

The relations between education and society are schematically represented in Figure 1 which suggests that an individual's life style and socio-economic status are contingent upon the opportunities that he has

been afforded. These opportunities are in turn contingent or dependent upon the educational attainment or achievement of each individual. Educational attainment, however, is contingent upon the quality and quantity of educational services and opportunities provided, and these are contingent upon the socio-economic status of the individual.[1] As Figure 1 suggests, there are no real starting or ending points in the cycle. Wherever the cycle is begun, the contingent relationships will apply as the cycle is completed.

Figure 1. *Relations Between Education and Life Opportunities for the Individual*



As Figure 1 indicates, education, both as a process and as a system, is contingent upon other forces or factors. In like fashion, society, as a system, is also contingent upon the actions of its component parts.

But while education and society are very much dependent upon each other, it most certainly should not be inferred that these are the *only* influences exerted on either. In virtually any society, education develops in keeping with the values, mores and traditions of that society, just as the society itself is modified—or is prepared to resist modification—by those same forces or factors. The system of public education in America grew out of the values and mores held by the initial settlers. These in effect evolved into traditions. Unfortunately—especially in the case of education—traditions often have become so firmly entrenched that they somehow are perceived to be inviolate. Consequently, traditions often become major forces that result in resistance to change.

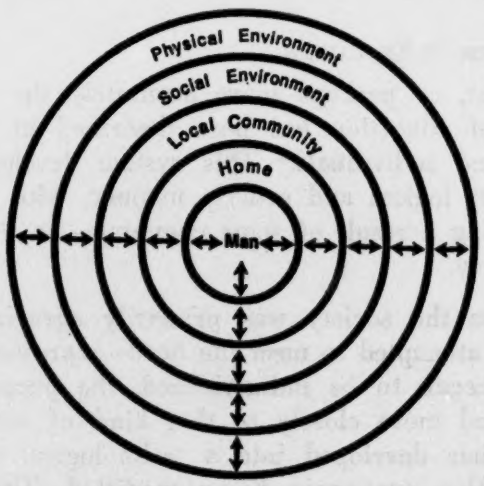
All citizens, including educators at all levels, need to recognize that education is inevitably affected by social change, although not always in clear cause and effect relationships or in easily discernible and describable cost-benefit ratios.

The myriad number of ways in which education can be affected by social change may be indefinable. Nevertheless, it should be patently clear that, as social changes occur, old options tend to disappear. New options do not as a rule appear in clearly predictable fashion, but instead emerge in seemingly amorphous response to a series of apparently unrelated contingencies.

Man in a Changing Environment

Just as the American society might be described as "contingent," so might also man. As the component parts of any societal system are dependent to some degree upon the other component parts, so also is man—as a component of his environment—forced to rely primarily upon the other component parts of the particular physical and social environment of which he is a part. Man's actions will be affected by other actions, reactions and events taking place within his environment. Stated in an even more blunt manner: man's hopes for survival are vitally affected by his environmental conditions. There is a very real danger that man may "so completely befoul the air and water with wastes [that his actions may] snap the delicate balance of ecology that makes his planet habitable."[2] The actions of man will always be based primarily upon factors within his overall physical and social environment. (See Figure 2)

Figure 2. *Relations Between Man and His Environment*



A major task of education therefore would appear to be that of helping man—in whatever environment he lives—to better understand the relationship between himself and that environment; to see more clearly that he will be vitally affected by the environment and the ways in which he

can influence that environment. Through education, the total relationship between man and his environment can and should be made more meaningful.

The Environment of Education

Virtually every recent discussion relating to education begins with an attempt to categorize briefly the major social changes that appear to have rather definite implications for the educational enterprise. Such necessary attempts may often tend to over-simplify a complex situation, and they probably frequently represent somewhat inadequate personal judgments. Nevertheless, there is need for a relatively broad framework within which may be considered those changes likely to have significance for: (1) the overall state system of education; (2) the basic state educational responsibilities; (3) the detailed responsibilities that are specifically assigned to the state education agency; and (4) those that may be assigned to other agencies and organizations including local school systems. These, in effect, constitute the environment in which education and its component units must function.

While the state education agency is only one component of the total educational enterprise, it is—as in the case of the many components of any environmental system—dependent upon the many interrelated forces and factors that make up the total system. The state education agency is obviously dependent upon legislative mandates and desires. It is, or at least certainly should be, influenced by conditions and needs at local, state and national levels. Most important, the state education agency, if it is to be an effective educational entity, must be primarily concerned with the environment, needs and opportunities of the learners, wherever and of whatever age they may be.

The Changing System of Education

The development, or perhaps more accurately the evolution, of the American system of education has been described in varying ways by different groups and individuals.[3] This system developed, evolved and emerged in a rather logical and orderly manner, with each development or modification being a result of some changing—or newly recognized—need in or of society.

At a time when the society was primarily agrarian in nature, the educational system attempted to meet the needs expressed by that society; when the society began to be industrialized, the purposes of education tended to be related more closely to that kind of society; and as the industrial society has developed into a technological one, some of the purposes of education are again being modified. The major purposes of education in the United States have changed rather dramatically over the years and, for reasons that should be obvious, must continue to change in the future.

Of equal importance, in terms of state leadership in education, are

the changes that have occurred—primarily as a result of changing conditions in the society—in the structures that have been created for the organization and governance of the system of education. In the days of the agrarian society, when the local community for all practical purposes was the center of social life and governmental functions, the relatively autonomous local school district with its local governing board was considered sufficient to meet society's needs. However, as transportation and communication capabilities improved, the need for a higher degree of commonality among the schools began to be recognized. As a result, there emerged in all states an office or agency to which was assigned the responsibility for state-level governance of education. This agency has become known as the state education agency and usually consists of a state board of education, an administrator called the chief state school officer, and the staff of the state department of education.

State and Local Educational Agencies in a Changing Environment

The direction and governance of the educational system in any state is a function and responsibility of the state. The responsibility for the operation and maintenance of individual schools has usually been assigned to school systems or districts that have been created for that purpose, but the basic policies and standards for education are prescribed by the state.

Both state and local education agencies must be concerned with the context and content of the environment in which they function. As each agency attempts to attain the educational goals that are established, it must plan and develop its activities in terms of the overall environment—and not in terms of a more provincial or short-sighted point of view.

In order for state and local education agencies to develop the kind of viewpoint required, it is essential that they move from the more traditional segmented approach or *micro*-view to a *macro*-view of education. *They must consider the entire educational system and the total environment of education rather than merely the isolated segments.* This approach is imperative if the agencies are to maintain a useful and constructive perspective as they plan for needed changes. They must recognize that the environment for education is continually changing and that many of these changes have important implications for the roles, responsibilities and functions of educational agencies as well as for all aspects of education. Some of the most significant changes are discussed briefly in the following paragraphs.

The Technological Revolution. One of the most clearly marked and readily discernible features of our contemporary society is its revolutionary technological emphasis. Technology not only brings changes in the mechanics of living; it also brings or portends important changes in the quality of life itself. The technological revolution literally has created a new environment into which education—and the state and local agencies responsible for it—have been perhaps reluctantly thrust. The

emerging technological environment has already suggested for education not only new educational techniques, but new social needs and a new set of values.

The Knowledge Explosion. There is little doubt that the rapidity with which man's knowledge has expanded creates serious and challenging problems for a social system that must not only transmit the accumulated knowledge, but also must use the new knowledge to create a better society. The problem confronting education therefore is twofold: (1) defensible decisions must be made concerning the *selection* of what learning is of most value; and (2) even more crucial, are the decisions regarding the *use* and *application* of the new knowledge that stems in large part from the technological revolution referred to above and that, hopefully, can be used for the betterment of society. The very nature of this knowledge—resulting from inquiry and leading to further inquiry—obviously means that *an educational system built upon an historically-sanctioned process of disbursing stable knowledge now must give way to one in which the primary emphasis is upon learning the methodology of inquiry itself.*

The Population Explosion. A startling—even appalling—increase in the world's population has far more meaning for education than simply the obvious fact that the number of persons to be educated is increasing at an almost geometric rate. Much more significant is the fact that the segments of the world's population which are increasing most rapidly are unfortunately not located where the educational opportunities are greatest. Even in our own country, with a relatively less severe population problem than that of many areas, it is not the sheer numbers, but the demographic distribution that calls for a serious reappraisal of our traditional education provisions and arrangements. As the population shifts occur, the familiar educational provisions and systems are likely to prove increasingly inadequate.

The Changing Ecology. Closely related to the dramatic changes that are occurring in the population—and in many ways even more appalling—are the changes that are occurring in the ecology of the world in which modern society exists. Entire populations of certain animal species are in danger of becoming extinct; many species of marine life are disappearing; fertile soils are being destroyed or rendered useless; and supplies of usable water and oxygen are being depleted at an alarming rate.

Man, as both "a *creature* and *creator* of his context,"[4] must concern himself with the kind of future he would seek for himself and for succeeding generations, and must choose accordingly. The wisdom of his choice and the provisions he makes for the education of his children will assuredly determine the future of mankind and will offer mute testimony to the worth or value of the educational efforts expended on his behalf.

Some Consequences of Changes in Society

The examples of major societal changes given above that affect education can have only very generalized meaning for many people. Far more specific implications can be discerned by looking at several specific aspects or products of societal change that are making directly observable demands on education, not only at the state level but throughout the society. These—the consequences of the societal changes—indicate some of the directions in which American education must proceed and which state agencies must carefully consider.

Society—Education Interdependence

One of the most pervasive yet elusive consequences of societal change is the growing realization that education does not stand in our society as an independent entity. Theoretically and abstractly, many educators have long recognized the interdependence between education and society. Society usually turns to education for help in finding solutions to its problems, but most educators have continued to operate as though education existed as an autonomous social enterprise, with a rationale, rules, and priorities of its own.

Education has an organic nature somewhat similar to that of a physical or biological organism. It grows and prospers, flourishes or withers, lives or dies in relationship to the total social ecology in which it is found. The relationship is a symbiotic one: the very existence of education depends on how well it contributes to the society of which it is an integral part, as well as on how society reacts to its provisions and contributions.

Every state and local education agency has significant relationships with all other agencies having a voice in shaping educational policy and programs, but not every education agency has recognized such relationships. Every such agency, however, must contribute to the well-being of the society and environment in which it exists if it in turn is to receive the support of that society.

A recent study on the role and policy-making actvities of state boards of education included this comment:

> Few state agencies, including state educational agencies, are fully aware of the degree to which they are or can be controlled by other state agencies, particularly state agencies established primarily for the general management of the executive branch of state government.[5]

New roles for state education agencies stemming from a recognition of this interdependence are clearly emerging. Areas of common, yet vital, concern clearly exist, as indicated in Figure 3, and educational leaders must recognize and utilize these areas of commonality as they plan for needed improvements in education.

Figure 3. ***Interagency Relations Within a State***

Projects such as Comprehensive Planning for the Improvement of Education in Appalachia and other developments have demonstrated that many other governmental and quasi-governmental agencies at federal, state and local levels have many areas of common concern and that they can and should cooperate in resolving educational and other problems in these areas, as illustrated in Figure 4.

Figure 4. ***Educational Agency Relationships***

Further complicating—but also encouraging—the concept of interrelatedness and interdependence in education is the growing recognition of the fruitful possibilities for interstate cooperation in educational matters. Although interstate cooperation in education is by no means a new venture (regional accrediting associations have existed for more than half a century, and a number of interstate compacts for the improvement of education have been in operation for up to twenty years) the major impetus for increased interstate education cooperation has undoubtedly come through Title V, Section 505, of the Elementary and Secondary Education Act of 1965 (ESEA), and, in a different way, through the

efforts of the Education Commission of the States. Legislative and organizational arrangements such as these have made possible a variety of interstate arrangements.

The Shift in Decision-Making Locus

Nothing has been more upsetting to traditional educational thinking than the marked realignments that have taken place in the points at which decisions relating to education are actually made. Formerly, it was possible to assign on historical (if not wholly logical) grounds many educational decisions to be made at the local level, others at the state level, and a few—a very few—at the federal level. Within individual schools and school systems, administrators and boards made most of the major decisions, teachers made the minor decisions, and the students and the parents usually went along. In recent years, however, there have been increasing demands—both psychological and constitutional—for decision-making authority to be shared and even redistributed. These have made reliance on the more traditional centralized systems of decision making obsolete.

Equality of Opportunity

America has long prided itself on having an educational system which provides schooling that is free, universal, and compulsory. In recent years, however, educators and others have been faced with the stark realization that this proud boast has been, for many American citizens, an idle one. The schools are not really free to those whose economic or social status denies them educational opportunities that are as good as the best that can be provided and are available whenever and in what measure they are needed. Appropriate schooling is far from universal for those from seriously disadvantaged families, those who need but cannot get early childhood education, post-adolescent vocational training or adult education, or for those with special educational needs resulting from physical, emotional or intellectual handicaps.

All educators and other citizens, and especially personnel comprising state education agencies, need to give special attention to the fundamental problem of providing bona fide equality of opportunity in high quality and relevant educational programs. If this is to be accomplished, new objectives and priorities must be established.

Fortunately, many efforts are now being made to ensure meaningful equality of educational opportunity. Some of the efforts are clearly commendable; others may be questionable. Nevertheless, efforts such as the following are encouraging:

- New organizational units created that are capable of meeting, to a higher degree than previously possible, the new and emerging priorities that are being established for education;

- Special educational programs developed for various types of disadvantaged populations;
- New and different funding patterns devised to more nearly equalize educational opportunities for all learners; and
- New cooperative educational arangements, both of an interstate and intrastate nature, that have emerged as state education agencies have attempted to provide the leadership and services needed to solve the educational problems.

Accountability

A major force that is altering inexorably the role, operation and functioning of education is the sharply increased demand for public accountability concerning the educative processes and products. Educators have long been accustomed to being held accountable, in a fiscal sense, for funds received and spent. Today, educators are being asked to render an accounting for educational *quality* and *results*, as well as for educational *expenditures*. Educational *results*, however, cannot be determined unless appropriate educational *goals* have been identified and are clearly understood. As stated in a recent study, " . . . without goals we can establish no reliable measures with respect to pupil progress."[6] State and local education agencies must concern themselves with identifying techniques by which education can be made an accountable process, and must develop or devise ways of providing useful assistance to educators and others in formulating meaningful goals and developing appropriate procedures for measuring progress in attaining these goals.

The problem of educational accountability is not an easy one to resolve. There are many forces, factors and variables that must be considered, and there are many roadblocks, real and perceived, that stand in the way of actual accomplishment of the task. However, regardless of the fact that it will be difficult, the need for a determination of the worth and effectiveness of the educational process will undoubtedly continue to increase in the years ahead. Gibson has stated the issue clearly:

> Has not the time come... when we must bring together the multitude of data we have on positive and negative relationships between services and processes on the one hand and student achievement on the other, irrespective of what goals are articulated? Has not the time come to quit using the many difficulties inherent in evaluation and measurement as excuses for not finding what works and what does not?[7]

All educators must address themselves to the types of questions suggested above, and at all times furnish the public with candid and understandable information concerning the worth and effectiveness of education.

The general demand for educational accountability is clearly seen in the strong (if still mixed) support being given to the program of National Assessment, the direction of which has recently been taken over from the quasi-private Committee on Assessing the Progress of Education (CAPE) by the quasi-official Education Commission of the States.

Extraordinarily complex and technical in its detail, the National Assessment program tries simply to answer one fundamental question, "What are our students learning?" The necessity for some kind of believable and understandable answers to this question stems from the increasing demands by the public that educators be somehow held responsible or accountable for the effectiveness of the educational enterprise.

State education agencies are being increasingly called upon to find ways to make it plain that they are assuming this new dimension of accountability. Nyquist[8] and Campbell and Sroufe,[9] among others, have emphasized that this is a particular charge upon state education agencies. How have these agencies responded?

Not very well—and often for quite legitimate and understandable reasons. It is by no means an easy task to take a management information system such as the planning-programming-budgeting system (PPBS), developed for and clearly applicable to the production of materials, and to adapt it for meaningful utilization in the much more complex area of education. Although many state and local education agencies have begun to introduce—and, in some cases, to utilize—a budgeting and operations system that seeks to tie educational expenditures rather directly to anticipated educational outcomes, the effort so far has not yielded demonstrably significant results. And although many state education agencies are moving toward some overall system of evaluation that goes beyond mere accreditation in terms of minimum standards, the results to date are less than spectacular.

Finally, some education agencies are realizing clearly that the public has a dual role in the accountability problem—not only as recipients of information but as participants in deciding the kind of information that is to be gathered and disseminated. A number of the projects funded through Title V, Section 505, of the Elementary and Secondary Education Act have involved the general public as partners in determining what kind of educational system is desired as a step in deciding what kind of accountability might be demanded of that system. At least three of the projects—the Great Plains School District Reorganization project, the Designing Education for the Future project, and Project Public Information[10]—have made extensive use of lay citizens in helping to shape the concept of what education should be trying to accomplish as a basic step in deciding how well it is accomplishing its desired purposes.

Much remains to be done before education—and especially state education agencies—can be said to be responding adequately or functionally to the growing demand for public accountability. New roles, new functions, and new responsibilities are emerging; the response has been meager in part because the options for response have not yet been well and clearly defined. The emerging role relating to educational accountability, however, will have to be assumed by the state and local education agencies that are charged with the responsibility for the educational

program, and they must prepare promptly to assume this new responsibility.

The Politics of Education

Traditionally, educators have said that education should be kept out of politics and, conversely, that politics should be kept out of education. This may have been a desirable stance for educators to assume at some point in the past. It is not, however, either realistic or wise in terms of the changing society. As has already been indicated, new forces, factors and interdependent interrelationships have been created. These, among other things, have mandated political involvement—as distinguished from involvement in partisan politics. Educators at all levels must clearly recognize that political involvement is both necessary and desirable if the goals and purposes of education are to be adequately met. As Campbell, Cunningham and McPhee phrased it:

> Difficult as it is for some educators to realize, we are convinced that the future of education will not be determined by need alone. It will be determined by schoolmen and their friends who are able and willing to use political influence to translate the need into public policy.[11]

No educational enterprise can be carried on without legislative authorization and appropriations. While neither an authorization nor an appropriation has ever educated a single child, no publicly supported system of education can survive without such legislative (political) support. Education should not become embroiled in partisan politics, but the primary function of educators is inextricably enmeshed in politics. Educators must, therefore, become "practicing politicians" in certain respects. The degree to which the state education agency can provide leadership and participate effectively in the "politics of education" will undoubtedly be one measure of the success or failure of that agency in future years.

Challenges to Traditional Authority

Many state education agencies appropriately have attempted to make it clear that they do not want to control the schools—they simply want to help to ensure an adequate program of education for everyone. They have therefore made a major point of beginning to shift their roles from the more traditional regulatory functions to the emerging consultative and stimulative ones.

But state education agencies, while having options about how they might perform, have little or no options about the climate in which they will perform. Societal changes have created a new climate—a whole new environment—for state education agencies. Students are revolting against the traditional paternalism of administrators and the *in loco parentis* role which for so long and so self-righteously has been assumed by the schools and even by colleges and universities. Legislatures are revolting against the idea that the schools automatically deserve at least a little more money every year. And taxpayers at the local level are

revolting against the idea that it is their inherent duty as citizens to approve every bond issue proposed.

These revolts are not new; but the violence and vigor of the challenges to traditional authority is a new phenomenon with which state education agencies must deal. If for no other reason than that the agency cannot any longer exercise an authoritarian, paternalistic, or a primarily regulatory role, in self-defense it will have to develop some new roles that are different—and these new roles will involve *shared decision making* at all levels of the educational enterprise. Many decisions not only can but must be shared with local education authorities, with federal officials, with other state government officials, with institutions of higher learning, with teacher organizations, with advisory councils, and with a variety of other individuals and groups. If there is to be a bona fide process of shared decision making, there must be meaningful involvement of all who are concerned about or affected by the decisions that are made.

Admittedly, this concept presents a challenge to the traditional roles of the state education agencies. How well the challenge is met will depend in large measure upon the manner in which each such agency assumes its appropriate emerging roles and responsibilities.

Educational Change: Some Imperatives

The broad societal changes, together with their societal consequences, are indicative of the need for—and the urgency of—basic and fundamental changes in education. The state education agency, charged as it is with the basic responsibility for education in the state, must assume the primary responsibility for leadership in planning and facilitating the necessary changes. But what types of educational changes are necessary and so urgently needed?

Meaningful Goals

It is quite obvious that the first and major imperative for change relates to goals of and for education. Educators must have—and understand—goals before they can determine "which way to go" and "how they might get to where they want to be." The goals that have been formulated undoubtedly will have to be restated so as to be realistic in terms of the changing needs occasioned by changing social conditions. Some appropriate kind of assessment of need therefore will be essential. But until some reasonably firm social consensus regarding what society expects from the educational system has been achieved and articulated, no rational changes—and the subsequent improvements—are likely to occur. However, if the goals for education are stated in terms of *contemporary* and emerging needs, rationally planned change and improvement becomes possible and more obviously essential.

Admittedly, the implications for education of any observable social

change are never clear cut and unarguable. Because of this, it is never possible to state, in specific form, exactly *what* changes must take place in education as a result of a given social change. It is possible, however, to weigh or consider changes that are proposed or suggested in terms of observable social and educational needs. For example, educational leaders in their attempts to effect or encourage needed improvements in education, might well consider the following as criteria for evaluating proposed changes:

- How would the proposed change contribute to the attainment of equality of educational opportunity?
- Assuming that national priorities for education exist, how would the proposed change contribute to achievement of the priorities?
- How would the change increase education's accountability to its various publics?
- How would the change capitalize on the interdependence of the various agencies and organizations involved?
- How would the change respond to the challenge to traditional authority and the desire of different groups to have a voice in decision making that affects them?
- How would the change increase the quality and relevance of education as seen by the students, the teachers, the parents, and others concerned with the educational process?

Implicit in the criteria suggested by the questions above is the concept that *educational change,* if it is to result in some improvements, *must be planned in relation to accepted goals.* Appropriate goals must not only be identified; they must be agreed upon at least by a majority of those concerned. For educators to attempt to effect change in the absence of goals is both pointless and fruitless. For them merely to enunciate goals and make little effort to achieve them is equally meaningless.

Rational Decision Making

It undoubtedly would be both psychologically satisfying and operationally efficient if educational leaders could simply set forth in clear-cut fashion a list of formulas that would solve all of the educational problems that result from an ever-changing society. Unfortunately for some, but fortunately for most, the very nature of the changing society precludes this seemingly simple manner of solving many educational problems.

Formulas, obviously, are tools that are both valuable and useful for accomplishing or performing certain tasks. The characteristic of rigidity that is common to all formulas, however, makes the use of formulas in many situations untenable. Educational leaders, therefore, must direct their efforts toward *rational* decision making. They must be capable of deciding when the use of a formula is appropriate and when some other

approach will help to solve a problem in an efficient and expedient manner. Instead of relying exclusively on pat formulas and prescriptive answers, educational leaders must, when necessary, travel the more difficult—and often less satisfying but ultimately more effective—route of helping to identify feasible alternatives for action.

The implications of social change for the educational system, as with society itself, are in many respects *contingent* in nature. The goals that are chosen, the criteria that are employed, the alternative modes of operation that are selected—are all representative of the contingent nature of the implications in that each is dependent upon some other force, factor or judgment. It follows, then, that *the implications of societal change for education lie in the inferences that are drawn and in the options that are chosen—the decisions that are made—and not in the changes themselves.* It also follows that decisions concerning courses of action must be made carefully and systematically within the context of the total system of education.

Identification of Alternatives. Within the scope of modern American society there are many realities, truths and values. Truth, in the American concept, does not inhere in a single principle. Value, in the same framework, is not to be found in any simple expression of belief. The old American adage that there is "more than one way to skin a cat" is a rather fundamental manifestation of the type of pluralism found within the American culture and society, and attests to the existence of many "realities, truths and values."

There are many choices to be made. The choices, however, are not mutually exclusive. Each choice for action will affect, in some fashion, the totality of the system. The choices—that is, the options or alternatives for action—must be seriously and carefully considered, not only in terms of the specific objectives desired, but also in terms of the implications for the total system. It is unlikely that any choice can be made that does not involve the influence of choices already made or yet to be made in other subsystems. Any choice made within any given subsystem likewise affects the other subsystems of education. As has already been noted, the interdependence in the context in which education operates almost precludes simple, clear-cut, uncomplicated choices. Instead, educational leaders will have to provide alternatives or options that are rational in nature, and that relate to the total system. It is imperative that the selections or choices made be based upon criteria that are defensible in light of changing needs.

Rational Selection of Alternatives. To simply choose from among several options or alternatives without assessing the probable consequences or results is, at best, whimsical or blind procedure. No rationality can be found when options—alternatives for action—are "selected" in this manner. And yet, when educational decisions that presumably have been made in terms of a defensible decision-making process are examined,

even in a cursory manner, many would appear to have been based on something other than rational choice.

Analyzing the probable consequences of choices in a rational manner is, however, far from simple. The processes involved may range from a relatively simple analysis of what would probably and logically ensue from the choice that is made to a highly sophisticated use of computerized techniques.

Suggested procedures for engaging in these types of analyses are both varied and numerous. A relatively simple one is what might be called the "let's pretend" technique, in which those involved try to envision what would happen *if* a certain choice were to be made. A more elaborate form of the same technique is that of preparing multiple scenarios which include details of the probable sequence of events that would be likely to stem from a series of choices made at critical points in the development of an idea or a program. Another procedure is the Delphi technique, which calls upon "experts" to forecast what would happen under a given set of circumstances, then returns to the same experts to attempt to narrow the range of differences of opinion on the basis of additional facts or the sheer weight of majority opinion.

Analyses based on input-output and cost-benefit information—central to many of the systems approaches in education as in other fields—attempt to utilize in the considerations or deliberations all of the possible factors that can be measured and, with these factors introduced into the formula, to forecast and assess the results of different projected courses of action.

However the analysis may be undertaken, and whatever the level of sophistication that may be employed, two things are essential:

- There must be something against which to judge whether a given projected alternative and its results is assumed to be good or bad, better or worse, more efficient or less efficient in its effect than another. Without valid criteria, there can be no defensible analyses; and

- The choices must be made on a rational and defensible basis—not merely in some random fashion.

The Emerging Role of State Education Agencies

In a time of rapid and ever-accelerating social change, the state education agency—that agency which has the fundamental responsibility at least for public elementary and secondary education in a state—cannot reasonably be expected to contribute to the direction of the changes that are occurring, or to the improvement of education and at least indirectly of society, if it simply continues to do only what it has done in the past. It must anticipate and prepare for its appropriate roles in the emerging future.

Planning for Needed Educational Improvements

Preservation of the status quo is not a defensible attribute of leadership in an ever-changing society. Efforts to maintain the status quo, however well meaning or sentimental they may be, are, in effect, efforts to prepare for a world that will no longer exist.[12]

One major role of every state education agency, therefore, must be that of providing leadership and services in planning for—and helping others to plan for—meeting educational needs during coming years. Only in this manner will it be possible for the agency to help education to be more responsive to societal needs, and at the same time will enable it to exert some influence on societal change. In assuming this role, the state education agency will have to consider at least the following:

- In an era calling for much greater and more pervasive equality of educational opportunity and for more relevant and adequate provisions, the state education agency has few, if any, options available in responding to the emerging requirement that it actively promote equality and adequacy of opportunities for all children, youth and adults. It does, however, have certain available options in terms of *how* it might or should proceed.

- At a time when society is quite justifiably calling upon education to demonstrate a greater degree of educational accountability for the total educational enterprise, the state education agency cannot very well maintain that professional autonomy somehow makes it immune to public criticism.

- In an increasingly interdependent society, the state agency cannot crawl into a shell of professional aloofness.

- When the increasing demand for a more rational allocation of scarce resources is being legitimately made upon all parts of our governmental and social organization, the state education agency cannot afford to ignore the potentialities of the systems approach as applied to educational planning.

- When traditional authorities are being challenged throughout our society, the state education agency will find it extremely difficult and unrealistic to attempt to preserve an authoritarian paternalism toward its many clients.

- The urgent cry for more relevant—applicable and meaningful—education is being heard in every quarter, and the state education agency cannot ignore the plea.

Leadership in Preparing for Change

While it is impossible—in a literal sense—to be certain of many things in a society that is characterized by pluralism, contingency and relativism,

it is at the same time necessary to assume that the state education agency does and will have a crucial role of leadership in the overall system of education.

If, however, the state education agency is to assume a bona fide leadership role in education, it must move away from the historic organizational and operational concerns—checking on compliance and doling out both money and advice—to new leadership and service activities that are less bureaucratic, less regulatory, less bound by traditions and structures, and more concerned with planning, development, and change.

The term, "leadership," whether used as a descriptive word or as a broad concept, is often either misunderstood or misused. Unfortunately, this term seems to connote different things to different people. However, the fundamental purpose, or function, of leadership consists of providing assistance in—or facilitating—the identification and attainment of goals that have been established by and for the organization. It is in this context that leadership, as both a role and function, is crucial to the state education agency. It is in this vein that the agency can and must provide leadership of the type suggested by Morphet, Johns and Reller[13] who observed that constructive leadership is found when assistance is provided in:

- Defining tasks, goals and purposes of the organization;
- Achieving or attaining the tasks, goals and purposes of the organization; and
- Maintaining the organization by accommodating emerging as well as present organizational and individual needs.

A rather fundamental dilemma relating to the concepts of power and authority often confronts people—and especially educators—who are concerned with leadership. Can a person be a leader without having power and authority? Conversely, does the existence of power and authority necessarily result in bona fide leadership?

As state education agencies prepare to assume leadership roles in education, questions such as these must be raised, and even more importantly, must be answered in a satisfactory manner. Power and authority may be valid components of leadership, but there is a difference between "power over" and "power with." As Wiles observed:

> Under the group approach to leadership, a leader is not concerned with getting and maintaining personal authority. His chief purpose is to develop group power that will enable the group to accomplish its goal. He does not conceive of his power as something apart from the power of the group. He is concerned with developing the type of relationships that will give him "power with" the group.[14]

As state education agencies move from the more traditional supervisory or regulatory roles to greater reliance on the leadership role, they not only must be aware of and utilize the positive aspects of leadership; they

must also be aware of and avoid the potential misuse of leadership. The overall role and function of leadership must be clearly understood and accepted by all concerned. As Morphet *et al* have indicated:

> No school group is completely autonomous in authority. All school groups, both formal and informal, are subgroups of the total organization. The ultimate "group" that has the final authority to determine school goals is the people . . . . Participation in decision making by all groups and individuals concerned is now being widely advocated. As groups participate in decision making, it is vital that the limits of authority of each group be clearly defined. The administrator-leader must also make clear to groups and individuals participating in decision making the decisions that he reserves for executive decision making and the decisions in which they can share.[15]

Whyte has offered some challenging observations relating to "democratic leadership" that serve to re-focus attention on some fundamental problems or dilemmas of leadership:

> The leader of a group or organization is expected to be "democratic." He is expected to get results through encouraging "participation" on the part of group members in the decision-making process . . . . We are . . . inclined to be more than a little suspicious toward anyone in a position of authority. At the same time, we recognize that a complex society cannot run without the exercise of some authority and without some limitations upon individual freedom. Perhaps then we can find our way out of the dilemma if we try to make our organization more democratic and substitute "democratic" leadership for "autocratic" leadership.[16]

The specifics of how the leadership role and function may be assumed by state education agencies have been the concern of many recent studies, including those mentioned above. They are also of primary concern in this volume, and further suggestions relating to the specifics will be presented in the chapters that follow. But before many alternatives for action can appropriately be considered, it is necessary to look at some of the persistent problems and new dilemmas that face state education agencies in this changing society.

Footnote References

[1]The concepts represented in Figure 1 have been adapted from a study by James W. Guthrie, *et al, Schools and Inequality* (New York: The Urban Coalition, 1969).

[2]*Time*, March 2, 1969, p. 73.

[3]A recent comprehensive treatment of the development of American Education can be found in *Education in the States: Historical Development and Outlook*, Jim B. Pearson and Edgar Fuller, eds. (Washington, D. C.: National Education Association, 1969).

[4]Laurence D. Haskew, "What Lies Ahead," Chapter 2 in *Cooperative Planning for Education in 1980*, Edgar L. Morphet and David L. Jesser, eds. (Denver, Colorado: Designing Education for the Future, 1968). Republished by Citation Press, Scholastic Magazines, Inc., New York, N.Y.

[5]Dean M. Schweickhard, ed., *The Role and Policymaking Activities of State Boards of Education* (Denver, Colorado: National Association of State Boards of Education, 1967), p. 1.

[6]John S. Gibson, "On Quality in Education" (Unpublished paper prepared for the Colorado General Assembly, Committee on Public Education, April, 1970), p. 4.

[7]*Ibid.*, p. 19.

[8]Ewald B. Nyquist, "Emergent Functions and Operations of State Departments of Education," in *The Emerging Role of State Education Departments*, Dick C. Rice and Powell E. Toth, eds. (Columbus, Ohio: The Center for Vocational and Technical Education, The Ohio State University, 1967), p. 201.

[9]Roald F. Campbell and Gerald E. Sroufe, "The Emerging Role of the State Department of Education," *Ibid.*, pp. 287ff.

[10]Brief descriptions of these and other "505" projects are given in the Appendix to this volume.

[11]Roald F. Campbell, Luvern L. Cunningham and Roderick F. McPhee, *The Organization and Control of American Schools* (Columbus, Ohio: Charles E. Merrill Books, Inc., 1965), p. 339.

[12]For a meaningful discussion relating to the various "pitfalls" of planning, see Robert B. Howsam, "Problems, Procedures and Priorities in Designing Education for the Future," in *Cooperative Planning for Education in 1980*, Edgar L. Morphet and David L. Jesser, eds. (Denver, Colorado: Designing Education for the Future, 1968), pp. 81ff. Republished by Citation Press, Scholastic Magazines, Inc., New York, N. Y.

[13]Edgar L. Morphet, Roe L. Johns and Theodore Reller, *Educational Organization and Administration: Concepts, Practices and Issues* (Englewood Cliffs, New Jersey: Prentice-Hall, Inc., 1967), p. 127.

[14]Kimball Wiles, *Supervision for Better Schools* (Englewood Cliffs, New Jersey: Prentice-Hall, Inc., 1955), p. 164.

[15]Edgar L. Morphet, Roe L. Johns and Theodore Reller, *op. cit.*, p. 141.

[16]William Foote Whyte, *Leadership and Group Participation* (Ithica, New York: Cornell University, New York State School of Industrial and Labor Relations, 1953), p. 1.

Chapter 2

Persistent Problems and New Dilemmas*

The constitutional and other legal provisions of a state determine, or at least significantly influence, the kind of educational program that can be developed and the provisions that can be made for organizing, administering, financing, and operating the program. In other words, these provisions determine the boundaries for the educational system and reflect the importance of education as perceived by the people or their representatives. As Morphet, Johns and Reller have observed:

> . . . the legal provisions . . . that relate to education are a direct outgrowth of the value systems and beliefs of the citizens of the nation and of the various states regarding the place and role of education in the lives of people and in the governmental structure.[1]

Implicit in these legal provisions appear to be at least two fundamental concepts: equality of opportunity for all learners and equity for the taxpayers who must support the educational program. Despite these implied or clearly stated mandates for equality and equity in education, serious current inequities as well as inadequacies exist in learning opportunities, in tax support for education, in effective state leadership and services for the educational enterprise, and in the exercise of meaningful local responsibilities for education. The adequacy and the quality of educational programs provided in a state are affected by many factors including the attitudes and perceptions of citizens, legislators, and board members at state and local levels, and the competencies and points of view of educational personnel employed at both levels.

The persistence of long-existing problems and the emergence of new dilemmas relating to the responsibility of the states for education have been brought into sharp focus by many recent developments including the number, the seriousness, and the variety of complaints that are made about the educational system and by the evidence provided by numerous studies. These criticisms generally relate to or are reflected in matters such as:

- In far too many instances students make little progress or drop out of school;
- Educational opportunities at both ends of the age spectrum are limited or fragmentary—inadequate pre-school and kindergarten education is paralleled by inadequate post-secondary and adult education;

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- The needs of youth, of the poor and of the minorities (as perceived by these groups and others) are not being met;
- Teachers and sometimes students show dissatisfaction with the current educational programs and patterns by insisting on a larger voice in educational decision making and threatening, or actually participating in, strikes or other forms of resistance;
- The educational establishment is seen by many as old and tired and self-serving; and
- Local voters and state legislators often grudgingly approve additional funds, or in an increasing number of cases, refuse to support any expansion of the educational system.

The current dissatisfaction and disaffection point to what appears in many instances to be the apparent inability of the governmental agency most responsible for education—the state itself—and of a substantial proportion of the local school systems to develop acceptable solutions to these problems or to find a clear sense of operational direction in the rapidly changing society in which we live. However, some states and a number of local school systems have made significant improvements during the past few years.

Constraints and Inadequacies

The inadequacies and inequities of the educational system not only persist but have tended to increase under contemporary pressures. When knowledge explodes, populations shift, occupational patterns change, environmental threats grow, government service and other costs rise, and tensions over school control increase, it is obvious that neither the states nor local school systems can be content to go about business as usual—that is, continue to do many of the same old things in the same old moderately effective ways.

The responsibility of the states for education cannot be abrogated under the established constitutional and legal provisions for education. Yet many states have not so much avoided their fundamental responsibilities as they have failed to react to the emerging problems and to face constructively the new dilemmas. The citizens, the legislatures, the state education agencies and local school systems must share the responsibility—or the blame—for this situation.

Although there is some discernible and identifiable unity of common purpose at the various levels of education and among the various states, this is a unity which exists within a pattern of diversity. As the authors of one study of state educational policy have suggested:

> . . . although the states . . . share a surprising degree of common concern about what should be done and how it should be accomplished . . . educational policies which apply cleanly and clearly to the states for which they are formulated must be tailor-made for that state and not appropriated or imposed from some outside source.[2]

Each state has its own problems and each state must seek its own solutions but many of these problems and solutions will have common elements. However, states cannot be expected to make adequate progress in exercising their responsibility for educational leadership until some of the handicaps under which they—and particularly the state education agencies—operate have been clearly identified and ameliorated.

A state education agency does not exist in a vacuum. It is subject to forces and factors that tend to shape the kind and quality of educational leadership and services that can be provided in a state. Various handicaps and constraints often deter the agency from moving promptly or effectively into new and more appropriate leadership roles and kinds of services.

Most state education agencies function in a climate that involves conflicting professional and often political pressures. The forces and factors pressing for changes designed to meet newly recognized needs are commonly resisted by those that favor a continuation of the established role and services. Relatively few state agencies are in a favorable position to deal constructively and effectively with these contending forces. Only limited numbers of people in local school systems and fewer still in most institutions of higher learning are seriously concerned about state-level issues unless their own special interests seem to be threatened. Campbell and Sroufe have noted:

> Not only are state departments of education hampered in presenting their program before the legislative body, but they have no immediate clientele to do battle for them. Although state departments of education may influence the education of every child in their states, their role may not be visible to the parents of the children. Professional associations are of limited help because almost by definition they are interested in only a narrow range of legislation, often competitive with the needs of the state departments of education. School districts, jealous of their local prerogatives, may actually prefer weak state departments.[3]

Traditional Perspectives

There persists a strong and pervasive tradition in many states that the state agency for elementary and secondary schools should be expected to exercise only essentially custodial functions, with emphasis on monitoring compliance with existing regulations rather than trying to lay the groundwork for the improvement of education. Yet in our changing society and our evolving educational system, the leadership roles and functions of the state education agency can no longer be restricted to, or even focused primarily on, traditional practices including the responsibility for teacher certification, for accreditation, for apportionment of funds for schools, for pupil transportation, for school building safety, for overseeing special education programs, and the like. All of these are important functions that will continue to be performed in some way by state education agencies. But the listing of these more or less routine functions, often described as belonging to different divisions or units of the agency, does not give the conceptual or operational framework into which to fit a broader, livelier, and more significant understanding of the challenging leadership roles that are open as alternative possibilities to state education agencies.

The situation is further complicated in many states by the persistent belief that most responsibilities for education should continue to be delegated to local school systems, many of which are not prepared to exercise these responsibilities under modern conditions. As explained in Chapter 4, this strongly entrenched tradition needs to be carefully re-examined in the light of emerging demands and needs.

Legal Limitations

The typical state education agency may be more handicapped and constrained in some respects by its own traditions and perceptions than by legal limitations on its activities. These restrictions are not so much *proscriptive* as *prescriptive*. That is, the agency may not be prohibited by specific legal provisions from planning or doing what is most appropriate under modern conditions but it has so many *prescribed* duties that in many cases it cannot get around to doing those things that should be considered more significant. Nor in most instances is it funded for new kinds of activities—its budget and staffing patterns tend to be limited by a consideration of how much support it needs to carry out the functions that are mandated under state law.

In some cases, the laws under which the agency operates are so restrictive that it has no legal authority or encouragement to go beyond these restrictions. Few state education agencies, for example, are authorized to take over as a temporary operator of a hopelessly inadequate local school district until matters needing attention have been straightened out. Moreover, most state education agencies have only limited authority to cooperate across state lines on problems of mutual concern as in migrant education, in the sharing of educational resources and the like. Few state education agencies have adequate legal authority or the financial resources to make decisions concerning professional travel and leaves of absence that might expand the horizons and widen the usefulness of their own employees.

Nevertheless, the basic legal handicaps, as indicated earlier, are not so much in what the state education agency is forbidden to do as in the requirement that it perform so many traditional and relatively routine tasks that time, personnel and money are simply not available for the more important, constructive, and creative activities in which it should engage.

Fiscal Constraints

The fiscal constraints that are felt by state education agencies go far beyond the common and often justified complaint that the legislature does not appropriate enough money to make it possible to operate an effective leadership agency. In most states, there is never enough money for all of the appropriate and needed services that any modern governmental agency should undertake. The basic fiscal problem of state education agencies, however, comes from the competing demands that are placed upon the legislature for all kinds of important social services, some of which are much more visible and politically viable concerns than those that are reflected in the activities of the state education agency.

In addition, it is common for state legislatures to feel that, since local responsibility for education (even though specifically delegated from the state to these local units) has been a fairly effective and long standing tradition, they do not have a strong commitment to put much state money into local educational efforts. Yet the constant erosion, over-use, and maladministration of the local property tax base has made the local education authorities necessarily more and more dependent upon state funds.

For state education agencies, the influx and influence of funds from the federal government has been a rather mixed blessing. It is true that the infusion of federal funds—ranging for different projects from rather substantial to minimal—has made it possible for state education agencies to undertake many kinds of activities that were heretofore impossible; but most of this federal aid has been of such a tightly structured categorical nature that much of the money has had to be used for the specific activity embodied in the Congressional intent reflected in the specific appropriation.

All in all, then, the state education agencies have in general been operating on budgets that restrict them to the most routine kinds of managerial and supervisory functions.

Political Conflicts

State educational agencies, like all governmental agencies, are supported by a political system that tends to translate (in sometimes distorted and delayed fashion) the wishes of the general public into specific legislation and appropriations. State education agencies are, therefore, political creations, born of and sustained by the political process. Yet state education agencies have historically tried to stay aloof from political involvement —hoping "to keep politics out of education." *Aloofness from partisan politics is highly desirable, but aloofness from the political system is impossible.*

State education agencies, therefore, often get caught in the same webs of political interrelationships, and even political intrigue, as other governmental enterprises. Perhaps most noticeable are two kinds of conflicts. Rural and urban forces continue to be at odds in nearly every state. Perhaps partly because most state legislatures—despite the impact of the one-man one-vote rule—are still rural-suburban dominated, the education agencies still tend to be thought of as agencies primarily concerned about the smaller school systems throughout the state—and as neither responsible for nor particularly concerned with many emerging state-wide problems or with the urgent problems of the cities. Many state education agencies accordingly have tended to view their operations as primarily concerned with helping the smaller schools and school systems, and continue to present their budgetary case to the legislature largely in terms of the problems of the schools with which most of the legislators are personally familiar and in which they feel a more personal involvement.

Another major political bind in which state education agencies are involved is the long-standing three way conflict over where ultimate responsibility for control of educational matters should reside. The educa-

tion profession, and the supporting lay groups such as school boards and parent-teacher associations, believe that education is a technical and professional matter which the legislative and executive branches of state government should support, but with which they should not interfere. But the state legislature typically sees itself as the governmental entity most closely responsive to the people and entitled to the prerogative of spelling out quite specifically just what the function of education should be, how it should be operated, to whom it should be offered, and how it should be organized and supervised. The executive branch of state government often feels frustrated because, although educational expenditures in most states represent an increasing share of the total state budget, the elected leader and administrative head of state government—the Governor—has virtually little say about how this large segment of state governmental enterprise is operated. Between the state and local boards of education on the one hand and the legislature on the other, many governors seem to feel that the control of education has been taken almost completely out of their hands, and that their legitimate powers and responsibilities as the chief elected officers of the state have been eroded.

It is not surprising that, with this three way political pulling and hauling, many state education agencies are neither very well regarded nor very well supported when the annual or biennial appropriation session rolls around.

Personnel Inadequacies

Some of the sharpest criticism of state education agencies in the past decade has been that many of the agency personnel have been inadequate for the leadership roles and responsibilities that have been thrust upon them. These criticisms frequently represent unsubstantiated generalizations, and are often more pessimistic than the facts would warrant in individual cases; but in some states they seem to be fairly well supported by the evidence. State education agency personnel have generally been viewed as being rural or small-system oriented, and frequently regarded as well intentioned and relatively capable people who just don't quite measure up to the highest professional standards of ability and expertise.

The state education agencies generally deny the universality of the accusations and contend that the problem lies with the legislature and not with the state education agencies. Agency officials complain—often with considerable justification—that they are not allotted sufficient funds to enable them to attract the most highly qualified personnel; that they must work under inappropriate and outmoded civil service policies which "hamstring" recruitment and retention of personnel; that they are sometimes pressured to give special consideration to the employment of constituents of certain powerful legislators; that they are either actively discouraged or even prevented from seeking personnel from outside of the state; and that they are forced by state personnel policies regarding travel and leaves of absence to circumscribe the activities of their staff to the extent that—instead of continuing professional growth and development—many of their

personnel tend to exhibit, over a period of years, a kind of professional involution and attrition. Elazar has observed:

> Within [state and local bureaucracies including education agencies] there will be greater emphasis on the use of trained professionals . . . . Not only will these professionals share the same professional values and long-range aspirations, with a consequent easing of communications, but they will also enable their governments to negotiate from positions of greater strength.[4]

Organizational and Structural Problems

Both internally and externally, state education agencies are typically handicapped and constrained by organizational and structural problems. Internally, the organization of many state education agencies tends to reflect the inflexible arrangements that are implicit in the rigid and bureaucratic duties to which the agency has been assigned or which it has historically accepted. Therefore, internally many agencies are organized to perform traditional functions that have relatively little applicability to the emerging needs and leadership roles which are possible and increasingly necessary for the agency. Specifically, it is typical to find most of the agency effort devoted to doing those things which the laws have traditionally said it must do, with almost no flexibility for such activities as long-range planning, the encouragement of needed change and innovation, or working with the increasingly serious problems of urban education.

The external organization and structure of state government also affects the state education agency. In the first place, in most states there is a multiplicity of agencies in the state that have some governance over education. All state educational responsibility is rarely vested in a single agency, but is commonly dispersed among separate agencies. The state department of education typically is responsible for elementary and secondary education and there usually are separate agencies responsible for higher education, for community colleges and the like.

Far more significant is the confused and confusing relationship between the educational agencies as a group and other segments of state governance. For example, in some states, all planning tends to be centralized in an agency outside of the specific operational structures, such as those concerned with education, health, welfare, and so on, with little or no overall coordination of specific inputs from the specialized operating agencies. In a few states, educational finance is handled primarily in a department of administration rather than within the education agency itself. There is, of course, no one pattern that is necessarily the "best" for all states, but the confusion of placement of agency operation and assignment of agency responsibility with respect to the total state governmental system makes it extremely difficult for many state education agencies to exercise their proper and effective leadership roles.

Promising Recent Developments and Insights

Admitting the serious inadequacies in educational opportunity and in fiscal equity in education, recognizing the handicaps and constraints under

which state education agencies now operate, and noting the emergence of contemporary societal developments and problems that increase the difficulties under which these agencies must function—what, if any, are the grounds for optimism?

There are many sound reasons for believing that the persistent problems and the new dilemmas may be closer to partial resolution than the previous discussion might indicate. Public interest in state education agencies is growing as more people become involved in matters relating to education. A new awareness of the significance of the state's role in improving education is emerging. Many competent persons from a variety of disciplines are giving the problem serious study and making constructive suggestions. An encouraging new federalism is emerging in education, not just as a political slogan but as a functionally effective system of sharing the power and responsibility for education among the three governmental levels: local, state and federal. As the flow of communication between levels of educational governance improves, the understandings about the roles that each level must assume are enhanced. Bold new proposals for a fundamental restructuring of educational organization, support and control are emerging, being seriously studied and discussed, and in some cases are being tried out or adopted.

Studies and Proposals

One of the most encouraging developments has been the increasing attention given to the problems of education and to the role of state education agencies in effecting improvements not only by educational and political leaders at all levels but also by political scientists, sociologists, economists and many others who have become seriously interested in education. Many of the studies that have been concerned with educational-governmental relations and with the implications for education of recent and prospective changes in society have resulted in proposals for new roles and directions for state education agencies and new dimensions and challenges for state and local leadership in education.

The conclusions resulting from many studies and observations might be summarized by paraphrasing a statement by Alfred North Whitehead about the emerging role of universities: *The task of state and local leadership in education—and of state and local education agencies—is to help in the creation of a wholesome future by stimulating and facilitating rational thought and civilized modes of appreciation and action.* This emphasis points to the importance of systematic planning—and of dynamic leadership in planning—improvements in education at all levels as well as in all other aspects of society.

Campbell and Sroufe[5] have observed that certain identifiable social forces are impinging so specifically on state education agencies that the direction of many needed changes in these agencies can be rather clearly foreseen. These authors identified certain trends and the implications for changes under a series of broad headings: the increasing expectations of

public education; the increased federal role in education; urbanization and suburbanization; the demand for increased rationality; and the startling technological revolution of our times. Specific improvements in state education leadership are suggested as appropriate agency responses to each of these major trends.

Campbell, Sroufe and Layton[6] delineated state education agency functions under five major categories: operational, regulatory, service, development (improvement of services), and public support and cooperation, with major emphasis on the last two. They further listed 22 specific recommendations for kinds of actions a state department of education could well consider taking. For example, these authors suggest that one of the regulatory functions of state education agencies—that of conducting school appraisals—be done much less frequently but in much greater depth, with major emphasis on self-study by teachers, board members and students rather than by making a perfunctory examination by state education agency personnel on site or through a questionnaire.

In summary, they have suggested that, given the new conditions under which state education agencies must operate, the new roles for these agencies represent a number of suggested shifts of emphases: reducing operational activities; reducing regulatory activities; refocusing service activities on demonstration centers, encouragement and coordination of research, dissemination activities, and the employment of highly specialized personnel; increasing planning and development activities; and entering into more creative relationships with other public education agencies.

Benson and Guthrie[7] have derived from a study of impending changes in society a list of nine changes in the educational system that are needed to respond to the emerging social context. Several of these proposed changes explicitly or implicitly suggest changed patterns of state education agency leadership: (1) systematic planning and evaluation; (2) in-service education of teachers; (3) individualization of instruction; (4) the massing of resources for metropolitan and regional cooperation; (5) racial integration; (6) pre-school programs; (7) education of the gifted; (8) community involvement; and (9) vocational education. As the authors of this study pointed out, each of these needed changes and emphases requires a three-level cooperative approach involving local and federal efforts as well as state agency leadership and involvement.

Goldhammer and others,[8] after considering the changing roles and responsibilities of state education agencies as they seek to respond to changing social conditions, suggested the kinds of organizational patterns that might be required and the leadership and service functions that might be recommended as appropriate. Specifically recommended in this study are such changes in state education agencies as the appointment of personnel trained to offer service in crucial matters affecting particularly the large urban districts, and the development of more consultative services in new areas such as centralized data processing.

Another listing of state-level education functions, by Nyquist, identified the emerging role, responsibilities and relationships in more precisely functional terms:

> The role of the states is to provide diversity and leadership; to organize and coordinate an effective educational system; to establish a sound foundation program of financial support; to provide efficient coordination and distribution of funds; to establish minimum standards for achievement and quality control; to lead in long-range planning; to conduct, cooperate in, and encourage research, to stimulate innovation, to assist localities in evaluating results; to develop good information systems on the facts and conditions of education; and to provide incentives to local school systems to go beyond a minimal performance.[9]

Nyquist maintains that the primary functions of state education agencies are:

- The establishment of educational goals;
- Long-range planning;
- Coordination of educational activities (school district reorganization, vocational education, and other key areas);
- Providing consultative services;
- Encouraging innovation and dissemination;
- Participating in research and collection of information;
- Carrying on strong evaluation programs; and
- Interpreting education to the public, the legislators, and the educational community.[10]

In order to carry out these major functions, Nyquist suggested six major kinds of internal organization and administrative functions that need improvement: minimizing the regulatory functions; creating organizational flexibility; improving internal administrative coordination; greater utilization of mission-oriented task forces; decentralization of state agency administration; improvement of conditions of employment within the agency; and greater regional and national cooperation between the states and with the federal government.[11]

The studies cited in the preceding paragraphs show commendable concern about expanding the leadership functions of state education agencies; each includes specific and practical suggestions. It is often difficult, however, to divorce the suggested new leadership responsibilities from the older categories that have constituted the traditional activities for state education agencies. All of the studies cited seem to agree that there is an identifiable and very necessary shift taking place away from the traditional bureaucratic functions of state education agencies toward new leadership roles more consonant with and responsive to the demands of contemporary society.

More Meaningful Cooperation

It is most encouraging to note the many improvements that are actually taking place in the relationships of many state education agencies both

"upward" to the federal level and "downward" to the local level. Federal-state cooperation is now an operating reality to a degree that would have seemed impossible a few years ago. Although state agencies still complain about some of the uncertainty, red tape, and over-monitoring that accompanies federal aid to education, the relationship between the federal and state educational enterprises is growing increasingly cooperative and effective. The broadening of grant authority by the federal government, the assumption of greater responsibility by the states, and the increased respect of each of the parties for the other are encouraging signs.

Most definite and obvious have been the substantial improvements brought about through Title V of the Elementary and Secondary Education Act of 1965, particularly the interstate cooperative activities among state education agencies supported and encouraged by Section 505 of that Title. Cooperative projects such as Comprehensive Planning for the Improvement of Education in Appalachia (six states), Comprehensive Planning in State Education Agencies (seven states), Designing Education for the Future (eight states), Midwestern States Educational Information Project (thirteen states) and the National Educational Finance Project (all states) have emphasized the need for state level long-range planning for improvements in education. Other projects have provided a framework for state leadership in improving migrant education, international education, the curriculum, educational assessment, teacher education and interstate certification, public information, school district organization, state-local relations, and the role of state boards of education. Perhaps the greatest value in these projects is the cooperative aspect of states working together to find some alternative solutions to common problems and the understandings that have been fostered and furthered through this cooperation. (Brief reports on Title V, Section 505 projects and their implications for state education agency leadership and responsibilities are given in the Appendix.)

In addition, state education agencies (partly as a result of the impetus engendered by the Title V funds) are showing a great deal more sensitivity in dealing with local education agencies—by granting them greater support, responsibility and freedom, and by redirecting agency efforts and restructuring the agency organization to serve better the needs. Illustrations of this trend include: granting specific state funds to local education agencies for planning and implementing self-initiated and self-directed educational improvements (as in the Florida Educational Improvement Expense Program); putting state accreditation on a planning-contract rather than on a supervise-and-check basis (the Colorado accreditation by contract procedure); and placing responsibility for teacher certification under a tripartite arrangement involving the preparing institutions, the local school districts, and the state education agency (the Washington certification project).

More state education agencies are involving representative citizens and utilizing consultants in planning for improvements in education. In some

states, deliberate and constructive efforts are being made within the state education agency to reorganize its operation so that it may become more responsive to the educational needs in the state. Various forms of decentralization (regional and area service centers, field offices, field representatives, area cooperative units, and the like) reflect the attempts of some state education agencies to develop closer and more meaningful relationships with local educational agencies.

In essence, initiative is being exerted in a number of states to bring about a reordering of the state education agency's leadership role in meeting current and emerging educational challenges. *More courageous and creative state leadership must be provided though before significant breakthroughs can occur throughout the nation.*

Other Challenging Proposals

In addition to the kinds of studies and recommendations and the specific changes in the shared responsibility among local, state and federal education agencies such as those briefly discussed above, some bold new proposals for the fundamental restructuring of educational control and support have emerged. Some of these appear to have considerable merit; others may turn out to be impractical "ideas" that, if adopted, would only result in additional problems. Each should be carefully studied and systematically analyzed in an effort to determine its potential advantages and disadvantages—all of the implications—and to identify other alternatives that may prove to be superior from a long-range point of view. In no case should an innovative proposal relating to any aspect of education be adopted simply because it is advocated by influential leaders, or merely because it would constitute a change that "looks like" it might be promising. On the other hand, some major changes in education are obviously essential, and no long-cherished policy or practice should be retained if a more defensible policy or practice can be identified.

State Coordination of All Aspects of Education. Many authorities have pointed out that there can be no bona fide planning for urgently needed improvements or effective coordination of all aspects of education in a state as long as there are several relatively autonomous agencies, each of which is responsible for some level or portion of education. They contend that education should be considered as a system, all parts of which are interrelated and point out that this is possible only when a bona fide state agency for the system of education has been established or, at least, some effective provision has been made to ensure coordination. (See further discussion in Chapter 3.)

Education Under the Office of the Governor. A variant, proposed most recently in Michigan, suggests that education be made more directly a state governmental function by abolishing the separate state board of education and independent state education agency as it has existed historically, and placing education directly under the office of the governor. The basic

premise in this proposal is that there would be closer coordination of education with other activities of the state government. (Chapter 3 presents some observations about certain aspects of this proposal.)

Complete State Support. Several authorities have been advocating that the schools in each state be supported entirely—or almost entirely—by state and federal funds and perhaps even operated by the state. Hawaii adopted this model when it became a state. The concern most generally expressed about this proposal relates to the controls that seem likely to be attached to, or follow, the financial support. (Chapters 4 and 6 give further attention to some of the advantages and disadvantages in this proposal.)

Regional Financing, Planning and Service Units with Local Operating Units. This proposal would provide for the division of a state into several large-area or regional educational financing units perhaps including coordination of planning and special services. Within each of these units there would be a number of semi-autonomous operating school systems, each of which would be responsible primarily for planning and conducting the educational program for its clientele. Goldhammer has cautioned that, "In a plan such as this, a system of differentiation of powers and responsibilities would be essential to insure effective working relationships."[12] (Aspects of this type of proposal are discussed in greater detail in Chapter 4.)

Involvement of the Private Sector in the Educational Enterprise. An alternative in the restructuring of education is the proposal that some or a great deal of the educational enterprise be turned over to the private sector, either supplementing public education by extensive "performance contracting" with private enterprise or, in its most extreme form, actually replacing the traditional state or locally controlled educational system with a plan which would give vouchers to individual parents and let them buy the kind of education they want for their children. Since this latter proposal, its opponents charge, might not only result in resegregation along both racial and economic lines but might also mean the ultimate disappearance of the public educational system as we have known it, severe negative reactions may be expected. (Chapter 6 provides further comment on this proposal.)

Demonstration and Experimental Schools. There are proposals advocating that the federal government and private foundations support and operate demonstration schools that are independent of both state and local authorities. A variation in this type of proposal is reflected in the "free schools" movement that attempts to make learning more relevant to the needs of the people to be served. In reality, these proposals seek to establish new ways to further stimulate innovation and improvement without the limitations and constraints inherent at both the state and local levels.

In Summary. The above paragraphs are not meant to suggest what ought to be done—many of these and other proposals will receive a mixed

reaction from many people. The point is that the persistent problems and the new dilemmas in state education responsibility will not be resolved by the preservation of familiar patterns or superficial "tinkering" with the status quo. Fundamental new patterns of organizational relationships and of internal organizations for state education agencies are clearly in prospect.

State education agencies should be concerned primarily with providing leadership in planning and effecting improvements in the provisions for education in the state with the *learner* and the *learning process* as the focal points in the educational program. Planning for improvements in organization, operation, and finance should be recognized as essential means—not as ends—in the improvement of the educational program. Major changes will need to be made in state education agencies in order to ensure adequate and relevant learning environments, opportunities, and procedures for all persons who can benefit from education.

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PART TWO

STATE EDUCATION AGENCIES

Chapter 3

State Organization for Education: Some Emerging Alternatives*

Relatively few states have assumed much bona fide responsibility for education. Most have provided primarily for the organization, governance and support of school districts, schools and institutions of higher learning, and have established certain controls and requirements that are expected to be observed. Until recently the emphasis in most states seems to have been on attempts—often inadequate—to maintain minimum standards and to meet the traditionally recognized needs.

Practically all states have authorized or required local effort to support elementary and secondary schools. Most, however, have imposed rigid limits of one kind or another on the responsibility that could be assumed by the people in any school district to provide financial support for education and, indirectly in some cases, on the programs and procedures. Obviously, under these conditions, it has been much easier for many school systems to continue with only minor modifications in existing provisions and programs than to make the improvements that are essential to meet the needs of a rapidly changing society.

Changing Role of the States

During the past few years several states have begun to assume more realistic responsibilities for education. They have sponsored or conducted studies of problems and needs, have attempted to determine the implications for education of recent and prospective changes in society, and have effected some important improvements. Some of the important conclusions resulting from these studies and related developments as well as some concepts and findings from other studies relating to emerging

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state responsibilities for education (discussed in Part One) are summarized below:

- Instructional procedures and curricular provisions in many school systems and institutions of higher learning do not adequately challenge the potential or meet the needs of learners (students) in a rapidly changing society.
- The programs and provisions for preparing educators often do not equip them to utilize meaningfully the recent insights and emerging technological developments in facilitating learning for many students.
- Greater attention needs to be devoted to the development of better ways of helping students to acquire and utilize pertinent information in attempting to understand and devise solutions for important problems—and far less emphasis placed on "teaching" and routine testing to determine the extent to which they have acquired relatively isolated bits of information.
- Many school systems are too small, too large, or are not properly organized to operate effectively and economically and consequently are not in a position to assume much effective local responsibility.
- There is urgent need for better coordination and cooperation in all aspects of education and activities relating to education.
- Changes in any aspect of education (such as in the curriculum or instruction) are almost certain to have implications for many other aspects. All important changes, therefore, should be carefully planned; they should not be made as a result of expedient action or on the basis of isolated steps.
- In this society, changes in an area such as education can seldom be *imposed* by the legislature or by some state agency; they should be planned and implemented with the cooperation and support of representatives of the people who will be involved in or affected by the changes.
- The only way a state can make meaningful progress in improving its provisions for education is to engage seriously and continuously in an effort to identify needs and in systematic comprehensive long-range planning for change, for implementing needed changes, and for evaluating the adequacy and effectiveness of these changes.
- There is a pressing need for careful reconsideration and reorientation of the roles, functions and relations of each state agency concerned with education, of educational institutions and organizations, and of local school systems. Unless this is done promptly and perceptively, the confusion and controversies will almost certainly continue to increase.
- In most states, there is urgent need for improving state leadership and services in planning and effecting needed changes in education.

State Agencies Primarily Concerned with Education

Most states have established a number of agencies, each of which is concerned with a certain aspect or "level" of education. All but two states have an agency including a board that, in most instances, is responsible primarily for elementary and secondary education. A few, however, have established a separate board and agency for vocational education. Several, during recent years, have created a board and agency for community or junior colleges (in some cases including vocational-technical education). Almost all states have established one or more boards and agencies that are responsible for higher education or for certain aspects of higher education. Several have a separate board for each of the major institutions of higher learning. Only New York and Idaho (where the board meets separately as the board for higher education), and recently Florida and Rhode Island, have created boards that are responsible for all aspects of education, although boards that nominally have similar responsibilities have been established in two or three other states.

Independence in organization and operation, including institutional autonomy, traditionally have been assumed to be necessary, or at least desirable, by those who were concerned with the development of various aspects and levels of education. But, in many states, this autonomy has resulted in what many consider to be unwholesome competition for power, prestige and funds for support of different kinds of educational institutions and for various aspects and levels of education.

On the basis of a rather detailed study of recent developments in twelve states, Usdan, Minar and Hurwitz made a number of important observations, perhaps the most significant of which were summarized as follows:

> One thing seems certain: the pressures toward political interaction of elementary-secondary and higher education will increase in the years ahead. The fiscal squeeze alone seems sufficient to bring further evolution in this direction . . . . We are confident of two things: these developments can be ignored only at considerable peril to education; and the common sharing, comparing, and evaluating of experience is a step toward confronting problems on a realistic basis.[1]

During the past few years, a number of states have begun to recognize that too much independence and autonomy for educational institutions and agencies may present as many problems as too little autonomy. Many of the states that have had a number of separate boards or agencies for education have reached the conclusion that there has been too much autonomy and too little coordination, and some have taken steps designed to ameliorate this situation.

The people in every state who are concerned about problems such as coordination will *need to consider carefully all feasible organizational alternatives and ascertain the probable implications or consequences of each alternative.* In some instances, it may not be possible to "prove" that one alternative would clearly be superior to another. Thus, the decision

as to the alternative that would be considered most appropriate for a state may be determined largely on the basis of value judgments concerning the relative merits of greater centralization as contrasted with considerable autonomy. Some of the major options or alternatives are discussed under the headings below.

One Agency Responsible for All Aspects of Formal Education

The roles and functions of an agency that would be responsible for all aspects of formal education would be similar to those of the Board of Regents in the state of New York. It would be responsible for all basic policies including those concerned with long-range planning for institutions of higher learning as well as for public elementary-secondary education, and presumably would have some responsibilities for nonpublic education. This arrangement would not preclude the possibility of authorizing subordinate boards for each institution of higher learning as well as for local school systems.

Some Possible Advantages

- Such an agency would be in a position to ensure maximum coordination and cooperation for all aspects of formal education.
- Maximum economy and efficiency should be feasible.
- The agency could present and interpret to the governor and the legislature comprehensive and balanced proposals that would set forth and explain the financial and other needs of all aspects of education.
- Competition and power struggles among various segments and aspects of education could be reduced to a minimum.

Some Possible Disadvantages

- In the more populous states (but not necessarily in the less populous), the multitude of complex educational problems might tend to become overwhelming.
- The creation of a single agency in the largest states could tend to result in the development of a huge bureaucracy that might discourage creativity and also tend to prevent or retard needed changes, and thus fail to encourage economy and efficiency.
- The problems and needs of elementary and secondary education differ in many respects from those of higher education and, since higher education tends to have greater prestige, elementary and secondary education might not receive adequate consideration.
- Some competition for resources would probably continue because representatives from each level or institution might try to find ways of bringing their concerns and needs to the attention of members of the legislature.

Two Agencies: One Responsible for Elementary-Secondary Education; The Other, for Higher Education

Several states have already moved in this direction and others seem to be considering this alternative. The responsibility for vocational-technical education and/or junior colleges has been assigned to the agency for higher education in some states, and to the agency for elementary-secondary education in others. Some authorities believe that within a decade as large a proportion of the students will be completing the equivalent of the 14th year as are now completing high school and that the responsibilities of the agency for elementary and secondary schools should be extended to include junior or community colleges as well as vocational-technical education. Others would not be willing to accept this point of view.

Among the possible advantages and disadvantages of the two-agency arrangement that should be carefully considered are the following:

Some Possible Advantages

- The creation of two agencies might constitute what most people in some states probably would consider a less drastic and less controversial change than the creation of a single agency, and therefore this alternative might be more acceptable to them.
- The agency for elementary-secondary education could be staffed to give adequate attention to that area; the agency for higher education could likewise be staffed to devote its attention to the many complex problems of higher education.
- The problems of coordination and cooperation in education would not be as complicated as under present arrangements in many states.

Some Possible Disadvantages

- The competition for scarce resources might result in the agency with the greatest prestige or influence obtaining a larger proportion of the available funds than the agency with less influence. (Usdan *et al* observed that this seems to have occurred in some states.[2])
- The governor and legislature probably would have to assume most of the responsibility for coordination and might have little assistance from educational agencies in determining the relative amounts of funds that should be provided for each level.

An Agency Responsible for Coordinating All Aspects of Higher Education; A Separate Agency for Elementary-Secondary Education

At least one half of the states have established some kind of *coordinating* board (rather than a single *governing* board) for higher education that is designed to be an interface between the academic and the political

communities. Practically all of these states have provided for the continuation of the board and agency for elementary and secondary education. The effectiveness of the coordinating boards seems to have been related to the quality of leadership provided, the competencies of the staff members employed, the willingness of the institutions to be "coordinated," and the limitations imposed by the legislature. Some of the advantages and disadvantages of this alternative are given below.[3]

Some Possible Advantages

- A coordinating board can encourage all institutions to cooperate in and support long-range planning for the improvement of higher education, and thus help to reduce institutional rivalries and competition.
- It can help to focus attention on present and emerging needs of higher education and encourage cooperation in meeting these needs.
- It provides a better basis for cooperation with the agency for elementary and secondary education than would be possible without such a board.

Some Possible Disadvantages

- Unless the board has a firm legislative mandate and a competent staff, at least the more influential institutions are likely to resist coordination, and the actual coordination of higher education will remain primarily in the political realm.
- Cooperation between the agency for elementary-secondary education and the coordinating agency for higher education will continue on a voluntary basis, and in many states the major policy decisions are likely to be left to the governor and legislature.

Separate Agencies Responsible for Each Institution of Higher Learning, and for Elementary and Secondary Education

This arrangement would result in continuation of the pattern that evolved in most states as an expedient arrangement to meet needs when they began to be recognized. Most authorities are in agreement that this is not a defensible alternative under modern conditions. Any proposal, however, for a change in such an arrangement is likely to be strongly resisted in many states.

A Possible Advantage

- The only apparent advantage would be to enable some institutions and agencies to continue to obtain satisfaction from their autonomous status and from their success in obtaining what they consider to be adequate support from the legislature.

A Possible Disadvantage

- A major disadvantage arises from the fact there is little or no

incentive for any institution or agency to view education as a social system with components that are interrelated in many ways, or to cooperate in serious long-range planning for the benefit of all citizens of the state.

The State Education Agency

Because this project is concerned primarily with improving state leadership in elementary and secondary education, major attention is devoted to the many important problems in this area, some of which are closely related to many of the problems and issues in higher education as noted above.

The agency for elementary and secondary education has come to be known in the literature as *the state education agency*. Perhaps in most states under present conditions a more appropriate term would be "the state agency for elementary and secondary education."

In all states except Illinois and Wisconsin this agency consists of a board, an executive officer (commonly referred to as the chief state school officer), and a professional and supporting staff, comprising what is usually referred to as "the state department of education."

The responsibilities and functions of this agency have gradually evolved from the simple accounting and reporting duties that were usually assigned *ex officio* to some elected state official (such as the state treasurer) during the early part of the last century. When it was found necessary for these responsibilities to be expanded because of the rapidly growing population and the increasing concerns about education, a new agency or office was created in one state after another and the responsibilities for elementary and secondary education were transferred to that office. In all but a few states, the tradition of electing by popular vote the person to head the office responsible for elementary and secondary education was continued for many years. The responsibilities of this agency were gradually enlarged by legislative action to include supervision of the schools, the establishment of minimum standards and regulations for education and the development of procedures designed to assure that these were observed by local school systems. These traditions, which became strongly entrenched, have been continued and constitute the background for what still seems to be a major function of a number of state education agencies.

However, the roles and functions of most state education agencies have changed in a number of respects during recent years and will need to continue to change. Among the forces and factors that are contributing to these changes are the following:

- The increasing number of people who have begun to understand that the mere establishment of standards and detailed regulations (that often are unrealistic in the light of emerging needs) for aspects such as the curriculum or certification is almost meaningless and may even tend to discourage needed improvements in education;

- The increasing demands that the provisions for education be modified continuously to meet the needs of a rapidly changing society;
- The rapidly growing recognition that changes in education can and should be planned on the basis of careful state-wide studies of existing and emerging problems, inadequacies and inequities—rather than made on a piecemeal basis primarily as a response to the efforts of special interest or pressure groups, or to a "crisis situation" that may have constituted an unrecognized obstacle to progress for many years;
- The development of new federal programs and the provision of additional federal funds designed to help state agencies and local school systems to plan for and effect needed changes and to evaluate progress; and
- A strong demand by increasing numbers of lay citizens and educators for better ways of measuring performance and progress in improving education in each state and the recognition that this will be possible only when the state education agency is headed by an unusually competent leader and staffed by highly qualified personnel who understand and are concerned about " . . . the proper role of local direction and control of individual elements of the educational system and the overriding responsibility of the state to ensure quality performance by those individual elements."[4]

Despite these trends and developments, a number of recent studies have provided evidence that seems to indicate that there has been comparatively little significant change in the *basic* role, functions or methods of operation of some state agencies for education. Some federal and local officials and other groups and authorities (such as the task force on urban education) have used this evidence as a basis for proposals for making funds and services available directly to large urban school systems in particular, or even to all local school systems—that is, to bypass state education agencies. Others, however, contend that the implementation of any such policy would inevitably weaken and perhaps eventually destroy state education agencies and make the concept of "creative federalism" meaningless. It seems apparent that relatively few people in any state would be willing to advocate the adoption of any proposal for bypassing state education agencies in favor of direct federal-local relations for any major aspect of education.

Until a larger proportion of the people in most states—educators as well as lay citizens—understand more clearly the importance and implications of the contributions to the improvement of both public and nonpublic education that could be made by a state agency for education, progress in changing the traditional roles, functions and relations of that agency is likely to be far too slow to meet emerging needs. Among the retarding factors in many states are the following:

- Relatively few educators or other citizens in most states have more

than a vague "idea" concerning the contributions to the improvement of education throughout the state that could and should be made as a result of the leadership and services that could be provided by a dynamic and competently staffed state agency for education. Most seem to be relatively complacent or unconcerned;

- The people (and especially the boards and school officials in many local school systems) seem to prefer the continuation of a relatively "weak" state agency—perhaps because they assume that a "stronger" agency would tend to be concerned primarily with the development of additional regulations and controls. They do not seem to understand that an agency that would be organized and staffed to provide leadership in planning and effecting improvements in education could and should help them to assume more meaningful local responsibility for the improvement of education;
- Comparatively few college or university people are seriously interested in or are concerned about the state education agency, or have done much to help to bring about needed changes in its role;
- Many state education agencies continue to be handicapped or frustrated in their attempts to make any significant changes in their traditional roles. These handicaps may result from legal provisions, unrealistic line-item budgets, and policies and regulations imposed by other agencies primarily concerned with the management of government operations. The provision that even professional employees are to be "locked in" to a rather rigid civil system or restricted by state personnel requirements in some states offers a good example of one kind of limitation; and
- Many of the personnel involved in the state education agency itself may tend to resist any significant change in the traditional role or functions of that agency, primarily because they are "comfortable" in continuing with what has been done previously, and would be "uncomfortable"—or some might not even be qualified—if they were expected to attempt to assume a different role.

It is conceivable that some states may seek to develop an organizational plan that would provide for education to be included—along with other related services—in a new kind of agency or department of government, perhaps similar to the Department of Health, Education and Welfare at the federal level. Some, however, would be concerned that the disadvantages of any such large and complex organization would outweigh the advantages. Because of the deep interest of the citizens in education, any plan for governmental reorganization would undoubtedly provide for an agency or a major component that is primarily concerned with, and responsible for, providing leadership in effecting improvements in education.

It seems apparent that in no state can adequate and relevant learning opportunities be provided, equality of opportunity be ensured for all

students, or needed adjustments be made unless some appropriate kind of *self-renewing* state agency for education has been created and staffed to provide the necessary leadership in planning and providing for needed changes in education. Only in those states in which at least the leading lay citizens and educators clearly recognize the need for—and in which they demand and continue to support—an agency or component of this kind, will such an agency be found, or will the kind and quality of education required to meet emerging needs be provided.

The State Board of Education

Beach and Will have contended that a state board of education: is more representative of the total population it serves than an individual who serves as the policy-making agent; should be in a position to make wiser and sounder policy decisions than an individual; serves as a safeguard against the abuses of discretionary powers; should help to avoid the involvement of education in partisan politics and the spoils system; provides a safeguard against needless disruption in the continuity of an educational program; and provides an economical and effective means for management and control of the educational program.[5]

Nyquist, State Commissioner of Education for New York, has commented:

> There is need at the state level for a non-partisan independent structure which relieves a single state official from sole responsibility in public education, can serve to maintain for education the important place it deserves in the structure of state government, can assist in seeing to it that education is not subordinated to activities having more political strength or appeal, and can interpret the educational needs of the people through direct representation of them and speak with a unifying voice . . . . Education is too important to be left solely to educators.[6]

In most states, many of the basic policies for education are set forth in a constitution that can be changed only by vote of the people, and/or by laws that have been enacted and can be modified only by the legislature. Within these limits, however, there are many policies and proposals relating to education that should be formulated and approved by a state board of education for the guidance of the chief state school officer and the staff of the department of education and of local school systems. A state board of education, therefore, should consist of members who are deeply interested in the improvement of education, are well informed, and are able to analyze the implications of various alternatives and identify and agree upon the most promising.

Both the state board for elementary and secondary education and the board or boards for higher education (in states in which there are separate boards) should be composed of especially competent citizens. In many states, the most "prestigious" and influential boards seem to be those concerned with higher education. Both the expectations of the people and the methods of selection undoubtedly have a bearing on the qualities of the persons selected to serve on a board. In Michigan, for example, where

the members of the state board of education have been elected by partisan ballot, a committee appointed by the Governor has commented that candidates for the state board of education are nominated at the party conventions "almost as an afterthought."[7]

Since the method of selecting members to serve on state boards of education apparently has important implications for the qualifications and perspectives of members who may be chosen, several alternatives are considered briefly below. In any state, however, the most promising method may result in a low quality board *unless the citizens insist on the selection only of highly competent and dedicated members.*

Appointment by the Governor

In 32 states, at least a majority of the members of state boards of education and in nearly all states the members of boards of higher education are appointed by the governor, usually for terms of seven or more years and with the approval of one or both houses of the legislature.

Some Possible Advantages

- The governor, because of his prestige, should be in a position to obtain the services of especially competent people whose judgment and ability should merit the respect of most people in the state.
- A state board whose members are appointed by the governor should be in a better position to obtain his support for proposals concerned with the improvement of education than a board selected in some other manner.

A Possible Disadvantage

- Unless the governor recognizes clearly that the people of the state insist on the appointment of especially competent board members, he may tend to appoint persons who are likely to support him politically or to accept his philosophy and point of view and, thus, to control the board.

Election by Vote of the People

In 12 states the members of the state board of education are elected by popular vote. In about one half of these states the voting is by partisan ballot; in the others, it is presumably nonpartisan.

Some Possible Advantages

- Board members elected by the people should be able to assure popular control of education and should represent "the will" of the people.
- This procedure is consistent with the democratic tradition of selecting representatives who will actually represent the people of the state.

Some Possible Disadvantages

- Board members who are elected by partisan ballot may tend to represent and support the point of view of the political party with whose support they were elected, and thus tend to inject partisan political considerations into decisions relating to the provisions for education; if the election is on a non-partisan basis some of the candidates may be sponsored or encouraged by groups with vested interests.
- Relatively few persons who do not have the backing of a political party or of a special-interest group are willing or in a position to meet the expenses of a state-wide campaign for a position that provides little or no compensation.
- There is always a danger that some politically ambitious people may become candidates primarily to promote their own interests.
- Relatively few voters are likely to have an opportunity to become well enough informed to be able to make an intelligent choice, especially when several candidates are involved.

Election by the Legislature or by Local School Board Members

In one state (New York) the members of the state board are elected by members of the Legislature; in another state (Washington) they are elected by local school board members; in two other states (Florida and Mississippi) the laws provide that they are to serve *ex officio* as members of the state board because they have been elected to serve in some other capacity as state officials.

A Possible Advantage

- State board members do not have to incur the expense or devote much time to a campaign for election to a position that provides little or no financial compensation.

A Possible Disadvantage

- The legislature may be so preoccupied with other matters that inadequate attention is given to the selection of competent members for a state board of education; the selection by local board members may involve jockeying for power among factions that develop; and some "ex officio" members may have little or no real interest in education.

Selection from a List of Nominees

Some authorities have advocated that a committee consisting of persons selected by the legislature or by each of five or six respected organizations in a state should be empowered to nominate, on the basis of criteria agreed upon and announced publicly, three candidates for each vacancy

from which list the governor (or the legislature) is to select an appointee. If the board members are elected, one candidate whose name is to go on the ballot with his concurrence, is to be nominated for each vacancy, with the understanding that others may be added by petition.

A Possible Advantage

- Such a committee should be in a position to ensure that especially competent candidates are given special consideration.

A Possible Disadvantage

- It might be difficult to get agreement on the composition of a competent nominating committee, or to persuade the governor, the legislature or even the voters to agree to such a procedure.

The Chief State School Officer

Every state has established by constitutional provision or law a position commonly referred to as that of "chief state school officer." The legal title designated by states for the position is far from uniform, the most common being "Commissioner of Education" and "Superintendent of Public Instruction." In most states, the chief state school officer serves as secretary and executive officer of the state board of education and as head of the staff of the state department of education.

In all but a few states until recent years, the state superintendency was considered a relatively low prestige political position requiring few professional competencies and providing a correspondingly low salary. But as the importance of competent state leadership in education gained recognition the situation began to change significantly. Election by popular vote, often on a partisan political ballot, has been replaced in a majority of the states by selection and appointment on the basis of professional leadership and other related qualifications. The salary level, responsibilities and staff support usually have been increased somewhat accordingly.

The position of chief state school officer is potentially as significant as that of the president of a large institution of higher learning. He must have the competencies needed to work effectively and constructively not only with other state officials including the governor and members of the legislature, with representatives of institutions of higher learning and of various organizations in the state that are interested in education and with federal officials, but also to provide professional leadership for the state board of education, for the staff of the state department of education that should include a substantial number of highly qualified specialists in various areas, and for local officials and educational leaders.

The most important responsibility of the chief state school officer in every state (although this may not be stated, or even clearly implied, in

the laws) is to provide insightful and effective leadership in planning and conducting continuous studies that provide the basis and rationale for proposing goals, policies and priorities for the improvement of education—or at least of elementary and secondary education—in the state. In many states this challenging responsibility has never been faced realistically because of the pressure created by "crisis" situations, other demands on the limited resources available, lack of understanding about how to proceed, or other similar factors. Far too often the state board of education—or even the legislature—has been expected to approve a proposal or adopt a policy on the basis of inadequate information and without any suggestions as to possible alternatives and the implications of each. The extent to which this basic responsibility (discussed more fully in the next chapter) is assumed meaningfully in a state will be determined largely by the quality of leadership and competencies of the chief state school officer and his staff.

The procedures utilized in selecting the chief state school officer, the level of compensation authorized, the constraints imposed by law or tradition, and the expectations of the people and of the board of education all have a bearing on the kind and quality of professional educational leadership that is likely to be found in any state. Because of the potential significance, it is important to consider carefully some of the advantages and disadvantages of the methods utilized in selecting the chief state school officer in the various states.

Appointment by the State Board

During the past three quarters of a century there has been a significant change in the method of selecting the chief state school officer in most states. In 1896 only 3 states provided for appointment by the state board of education. Even though many states had to amend their constitutions in order to make a change, 25 now provide for appointment by the board and others are considering amendments that would eliminate popular election.

Some Possible Advantages

- A board that has the responsibility for determining many important educational policies should have the opportunity to select its executive officer and, if so, can hold him responsible for recommendations regarding policy alternatives as well as for the effective implementation of the policies that are approved.
- The board can and should interview promising potential applicants regardless of place of residence, and should be in a much better position than the voters to select the person best qualified to serve as chief state school officer.
- Partisan political considerations and other extraneous factors can be reduced to a minimum.

Some Possible Disadvantages

- A weak or incompetent board might select a weak or ineffective chief state school officer.
- The governor, the legislature or the people may believe that executive control is weakened or that selection by a board tends to remove education to an undesirable extent from the accepted political processes in the state.

Appointment by the Governor

Appointment of the chief state school officer by the governor is less common at present than it was at the beginning of the century. The number of states utilizing this method has decreased from 9 to 4, and in each of these states both the state board and the state superintendent are appointed by the governor. However, there are strong advocates of gubernatorial appointment and in some states the possibility of changing to this method of selection is being considered.

Some Possible Advantages

- Appointment of the chief state school officer by the governor to serve at his pleasure would enable the chief executive to have greater control of all aspects of state government and should facilitate state planning and coordination.
- If the chief state school officer is appointed for a term longer than one for which the governor is elected and is removable only for cause, he should be relatively free from short-term political pressure.
- The governor should be as able as the state board to select a competent person and this person would be more likely to have his full support than would a chief state school officer selected in some other manner.

Some Possible Disadvantages

- If the chief state school officer is selected by the governor and is responsible to him, the state board of education might tend to lose prestige and influence and become a body having only weak advisory responsibilities, or even be eliminated.
- The governor might demand the support of the chief state school officer on partisan political issues and, as a result, partisan political considerations could be injected into decisions relating to the educational provisions for the children and youth of the state.
- Education should at no time be placed in a position where it can be controlled by any successful contestant for governmental power; educational policy should transcend the term or terms of any governor.

Election by Popular Vote

Despite the excellent precedent established in Massachusetts during the days of Horace Mann more than a century and a quarter ago, most of the states in other parts of the expanding nation initially provided for election of the chief state school officer by popular vote, usually on a partisan ballot. However, the number of states using this method of selection has decreased from 31 near the beginning of this century to 21 at present; in 15 of these he is elected on a partisan ballot and in 5 the term is only two years.

Some Possible Advantages

- The person elected to the office represents the will of a majority of the voters and is responsible to them; when he is elected by partisan ballot his primary responsibility will be to the party he represents and should be able to obtain its support in making changes in education.
- Because the selection is limited to candidates from the state, the person elected presumably will be reasonably familiar with the problems and needs.
- In theory, a person elected to the office by vote of the people can have considerable influence with the governor and other elected officials, yet not be dominated by their views.

Some Possible Disadvantages

- There is no assurance that the most persuasive person in a political campaign will be qualified to provide the kind of leadership required to effect the improvements needed in education under modern conditions.
- Many of the most competent educators in a state are not likely to be willing to engage in a political campaign in an effort to attain a position they consider to be professional rather than political, or to be in a position to finance a costly campaign. No person from another state regardless of his qualifications is eligible for consideration for the position.
- A successful candidate may attempt to select for membership on the state department staff some of his political supporters and, if he wishes to succeed himself, may find ways of involving members of the staff in his political campaign.
- A chief state school officer who has been elected by popular vote on the basis of certain campaign "promises" is likely to insist that the state board accept his "policies" in these areas, or to challenge publicly any members who are unwilling to accept those policies.

The State Department of Education

The department of education is usually thought of as including the

chief state school officer and his professional and supporting staff. In the largest states it currently includes more than a thousand people ranging from highly trained professionals, some of whom may be working on federally or university related projects, to personnel who may serve in clerical or other positions that require comparatively limited training. The increase in size of state department staffs, in staff competencies and in the variety of positions has been significantly influenced by federally financed programs but also, in part, is a result of many significant changes that have occurred or are in process in most states.

The forces and factors that are contributing to or, in some cases, are actually making these changes necessary include the following:

- The recognition by increasing numbers of people that excellence in education for all students in every state and community is essential for the attainment of state and national goals;
- A better understanding of the importance of comprehensive long-range planning to help each state to ensure that the provisions for education are realistic and reasonably adequate to meet the needs of a rapidly changing society;
- A growing recognition of the fact that in modern society individual, institutional and agency cooperation is essential if optimum progress is to be made;
- The insistent demand by legislators and many others for increased effectiveness and accountability in education; and
- The development of new information, insights, technologies and programs that hold great promise for the improvement of education when adapted and utilized with the cooperation, or under the guidance, of competent and well qualified leaders.

These and other recent developments clearly mean that a state department of education is not likely to be in a position to meet present or emerging needs if: (1) it is headed by a chief state school officer who is better qualified to generate personal political support than to develop and provide effective leadership for a qualified staff; (2) the salaries are too low to attract and retain the most competent people; (3) the staff is primarily concerned with maintaining the traditional services and standards and is not qualified to provide leadership in planning and effecting improvements in education; or (4) each group of specialists and the members of each unit or division are so concerned with their own problems—with the enhancement of their own "bureaucracy"—that they fail to consider pertinent interrelationships or to seek opportunities to collaborate with other groups in studying and dealing with problems that should be of mutual concern.

The implications for education of recent and prospective changes in society make it necessary for every state education agency, and especially for the department of education, to: (1) reconsider and redefine its roles,

functions and relations; (2) reconsider and adjust its organizational plan and staffing structure in an effort to prepare to meet emerging as well as current needs more effectively; (3) reallocate its resources on the basis of defensible criteria and attempt to obtain additional resources when these become necessary; and (4) develop and implement a realistic plan and program for continuously upgrading and improving the competencies, services and relations of all staff members.

Undoubtedly the major role and responsibility of every state education agency and department staff in the future will be to provide the leadership and services required to ensure effective planning for the improvement of all aspects of education, to facilitate the implementation of needed changes, and to provide for the continuous evaluation of progress in improving the learning environment, opportunities and procedures.

The acceptance of this role and responsibility has significant implications for almost every facet of the state education agency and department organization, staffing and operation. For example, most professional staff members need to understand at least reasonably well systems theory and the systems approach to the study and analysis of problems and possibilities, the planning-programming-budgeting-evaluating system, the use and limitations of cost-effectiveness procedures in education, the role of management information systems, the development and utilization of appropriate research designs and so on, as well as the basic sociological, psychological, political science and other related concepts. This does not imply that they must be specialists in all of these areas, but rather that the services of appropriate specialists must be available as needed and that staff members will need to know when such services are essential and how to utilize them effectively.

In the past, the organization of many state departments has been determined largely by traditional functions or the competencies of certain staff members. New units or divisions have often been created to meet new demands such as those for science education, foreign languages, multimedia materials, or the assumed requirements of a new federal thrust or program. Often appropriate relations and communications between units or divisions have been almost nonexistent. There seems to have been a naive assumption that if each unit makes a serious attempt to meet the needs in its own limited area, education will continue to improve throughout the state. The concept of education as a dynamic social system in which each subsystem is related, at least to some extent, to every other unit or component of the system has all but been ignored.

During more recent years the need for a more realistic and flexible organizational structure has begun to be recognized and has resulted in some significant improvements. A few state agencies have attempted to create a more functional but flexible organization concerned primarily with the development, implementation and continuous appraisal of programs and plans. Such a structure probably would have two major axes or components: the administrative component, concerned primarily with

the necessary on-going responsibilities and problems; and the major programs component, concerned with special and emerging program needs. The latter might be staffed in part by temporary members or task forces and assisted by carefully selected consultants who are not regular members of the department staff. The staff for a study made a few years ago commented:

> We believe that an attempt to have permanently available within the Department the broad spectrum of capabilities in the depth required by future evaluative and developmental projects would create difficult problems in resource management for the Department and would be wasteful of money and talent. The content of projects carried out by the Department will change over time . . . . The resources of the Department must be as flexible as the projects are diverse, and we believe this can best be accomplished by forming specific project teams for each assignment and by using short-term contracts to obtain the kinds of talent appropriate to each project.[8]

All proposed policies relating to the selection of staff members, departmental organization, program planning, task forces and consultants should, of course, be developed with the guidance of the chief state school officer and submitted, along with an analysis of feasible alternative possibilities and his recommendations, to the state board for careful consideration and adoption of those which seem to the board to be most appropriate and defensible. However, adoption by the board of the most defensible policy relating to any aspect of education does not mean that it will meet with the approval of other state officials or even of local school officials or personnel. Not only for this reason but also in an effort to obtain additional insights and perspectives, many state agencies have either included representative educators and sometimes lay citizens on task forces or have established special advisory committees to assist with the development of policy proposals. Thus, the department—which otherwise might be subject to unfair criticism on some controversial matters—may not only obtain valuable insights, but also will have the assistance of informed people outside the department who can help to explain the need for the policies agreed upon.

Obviously, any state department of education that expects to provide effective leadership during the coming years will need not only to select especially competent staff members and develop an appropriate but flexible organizational structure, but also to plan and conduct a continuing and relevant in-service training program for all staff members.

Relations with Other State Officials, Agencies and Organizations

No agency, institution or organization can function effectively without keeping in close contact with many other agencies, institutions and organizations. It is always easier for members of any group to communicate with other members of the group in which they function than with members of other groups—that is, to communicate across the boundaries of their social system. Suspicion and jealousy between groups are not uncommon even when there is fairly good communication; they tend to increase when communication is weak or ineffective.

Since the states are basically responsible for education, and many groups and agencies in each state have some interest in or concern about education, it is especially important that state education agencies be concerned about relations and communications with these other groups and agencies. Perhaps the organization of some appropriate kind of "blue ribbon" committee comprised of representatives of various state agencies would be helpful in this respect. Nyquist has noted:

> Traditional forces of institutional autonomy are being displaced by emerging patterns which emphasize interdependence rather than independence in the expansion and improvement of education. Local public schools, colleges, and state education departments are finding that they need to cooperate more effectively, not only with each other, but also with other agencies and groups in order to make education more effective.[9]

The Governor and the Legislature

While the decisions that can be made by the state and local education agencies and institutions are of great importance, the basic decisions that determine the scope, possibilities and limitations in each state are made by the people or their representatives and are incorporated in the constitution and laws. Thus, they are political decisions. But recommendations made by educational agencies and organizations may result in changes in legal provisions. In the final analysis, the decisions as to whether these recommendations will be accepted, rejected or modified are made primarily by the governor and the legislature, presumably on rational grounds rather than on the basis of partisan political considerations.

Neither the governor nor the legislature is likely to—or should—endorse proposals merely because they are submitted by the state education agency or by any other group. These and other state officials are entitled to all pertinent information and should be expected to ask searching questions and receive honest responses. Insofar as practicable all major proposals should be prepared and submitted by the state education agency within the context of comprehensive planning for effecting improvements with which all agencies of state government presumably are concerned.

If either the governor or members of the legislature, without having consulted representative educators or the state education agency, submit proposals for legislation that would significantly affect education, they would seem to be acting as arbitrarily and indefensibly as if they were similarly to submit proposals relating to health or highway programs. Both the governor and the legislature have available the services of staff members and agencies that can help with analyses and interpretations of data and can obtain additional information as needed on all matters of major concern.

When there is frequent and frank communication concerning problems and priorities between the chief state school officer, the governor and members of the legislature, and also between representatives of the state education agency and of other agencies concerned, the prospects for resolving all major issues on a defensible basis should be favorable. If any of these

officials or representatives withhold or attempt to misinterpret information, or seek primarily to protect the vested interests of any group, the prospects for agreement and cooperation are almost certain to be reduced. To the extent that bona fide cooperation in planning and effecting needed changes becomes a major concern of everyone involved in state government, progress will tend to be facilitated.

Other Agencies of State Government

Almost all agencies of state government have been expanding in an attempt to meet rapidly increasing needs and demands. Competition for the limited resources available has contributed to a rapidly growing interest and concern about coordinated planning and the establishment of priorities. A few states have attempted to establish a special agency that presumably will be responsible for all planning; others have developed an agency that is primarily responsible for the *coordination of planning* and have encouraged or required all state agencies to undertake bona fide long-range planning. The latter, as explained in the next chapter, seems to be more defensible in most states than the former.

If it is assumed that state education agencies will give increasing attention to the provision of leadership and services for planning improvements in education, they will need to work closely and continuously with every other state agency primarily concerned with planning. These relations will inevitably encourage cooperation with other state agencies that are likely to be working on plans that will have implications for various aspects of education.

Among these agencies are boards for other aspects of education; the department or departments concerned with revenues, budgets and other aspects of finance; any agency or agencies concerned with land use, environmental control and recreation; the civil service and employment commissions; departments concerned with transportation and safety; agencies concerned with urban and rural development and planning; and those concerned with health and welfare. The most effective ways of cooperating meaningfully with, and obtaining the cooperation of, these departments and agencies will, of course, have to be determined in each state.

Institutions of Higher Learning

In many states the institutions of higher learning and their representatives have all but ignored the agency primarily concerned with elementary and secondary education. Similarly the state education agency and members of the staff have had few relations of any significance with the institutions of higher learning. Perhaps this situation has developed—regardless of the fact that education is a social system the components of which are interrelated in many ways—because, in most states, the personnel operate under separate agencies. Contributing factors include:

personnel from institutions of higher learning have often tended to consider higher education as "superior" and to view state education agency personnel as minor bureaucratic technicians who have little interest in matters appropriate for scholarly concern; and state education agency personnel have tended to view college and university personnel as aloof, theoretical, impractical, and not much concerned about some of the basic problems of education.

But this traditional situation has changed considerably in a number of states and will continue to change in all states as the competencies (and compensation) of state agency personnel are improved to the extent that many can discuss meaningfully with personnel in higher education relevant theories and research and their implications, and as a larger proportion of those in higher education recognize that they have an obligation to contribute to the solution of the basic educational problems facing the state and nation.

The increasing interest in and emphasis on planning—that involves carefully designed and defensible studies of all aspects of education, of the interrelationships among these aspects, and of the relation of education to almost every facet of a rapidly changing society—has encouraged and even mandated cooperation and coordination. The inadequacies and irrelevancies in the traditional provisions for education at all levels are being brought increasingly into focus. It has become obvious that deficiencies in elementary and secondary education handicap the institutions of higher learning and that obsolete or inappropriate programs and procedures for preparing educators, in turn, handicap the elementary and secondary schools and students. Dissatisfied, restless and frustrated students and teachers at all levels are obviously seriously concerned about many aspects of education and of society. It should be apparent, therefore, that better understanding and cooperation between those involved in higher education and those concerned primarily with elementary and secondary education are essential for continued progress.

Educational Organizations

In every state there are several organizations that include teachers, various kinds of facilitating personnel and/or one or more groups of administrators of public schools. Other organizations are concerned primarily with non-public schools. In most states, these organizations are more or less tied together in a confederation and make some attempts to cooperate on certain issues. In other states, at least the organizations that primarily involve teachers are fiercely competitive.

Traditionally, the relationship between the state education agency and the established organizations—often referred to as "The State Teachers' Association," or "The State Education Association"—has been cordial. In many states this relationship has appeared to the public and the legislature to be quite cozy—almost collusive. With the emergence of rival teachers' organizations, the growing militant stance of teachers with their reliance

on tough-minded negotiations techniques, and the demand by teachers to participate as an organization in policy decisions and for the right to take over some of the functions traditionally exercised by institutions of higher education and the state department, the situation is rapidly changing.

Out of this situation, supplemented by the demands by student groups for educational provisions that are better adapted to their needs, new and exciting leadership roles for the state education agency with respect to these organizations and groups are beginning to emerge. The Multi-State Teacher Education Project (see Appendix) seems to have provided one model that illustrates how the new independence, militancy, and growing sense of professional responsibility on the part of both the more traditionally accepted "professional" organizations and the increasingly powerful "labor" organizations can be utilized to make the preparation, certification, and continued in-service growth of teachers a cooperative affair involving the teachers' organizations and the institutions, along with the state agency. There are, of course, other feasible models including the organization of a representative advisory committee that might include some well informed lay citizens.

Other Organizations and Citizens of the State

Members of the Congress of Parents and Teachers (PTA) and of the School Boards Association, and often members of other kinds of groups, are especially interested in education and seek opportunities to cooperate in improving schools. Such groups have usually collaborated with state education agencies on proposals to improve education but have only occasionally been challenged to participate meaningfully in long-range planning.

Relatively few state agencies have made a serious and continuing effort to keep citizens in general informed about emerging needs and the progress that is made or the problems encountered in meeting them. The reports and materials prepared by state education agencies are usually professionally oriented and seldom communicate effectively to a majority of the citizens, most of whom are potentially interested in education and whose understanding and support are essential to ensure defensible political decisions relating to improvements in education.

Relations with Local School Systems and Area Service Units

The often-voiced complaints of local school district officials that state department of education personnel have tended to be arbitrary, capricious, and overly demanding may represent a considerable degree of defensiveness, but undoubtedly the charges have had some merit. Whatever the truth of the matter may have been, a new pattern of relationships is emerging. The growing sense of necessary interdependence, the lessening reliance on authoritarian postures, and the increasing insistence on a more rational approach to solving educational problems all suggest that the relationships that have existed in the past between local and state education agencies are unsuitable for the emerging future.

For example, uniformity of state-level regulation, of supervision, or even of services does not make good sense when the structures and needs of individual local education agencies are so different. What might be an appropriate state education agency relationship to a small rural district would not be at all suitable for an urban school system, a metropolitan area, or an intermediate unit.

A change of attitude on the part of both local and state agencies is needed; but attitude change is unproductive unless accompanied by organizational, functional, and staffing improvements as well. For example, dissemination of innovative practices by the state department is not likely to be effective unless local education personnel have participated in the development or appraisal of the new ideas and are convinced that they should be adopted or adapted—in other words, that they should be legitimized and institutionalized. The local capability for accepting and implementing the educational innovations is a function of how well the leadership, inservice, consultative, and regulatory activities of the state education agency have supported the efforts of the local districts.

What has been said in the preceding paragraphs about local agencies applies as well to the intermediate or other large area units that are now emerging or being strengthened in many states. A similar shift toward a more cooperative spirit and a genuine concern for translating this spirit into programs and action is needed. Moreover, the state education agency should take the initiative in helping the intermediate and other large area units to prepare themselves to make effective use of the services the state has to offer.

Perhaps the most significant leadership service a state education agency can provide for local school systems and intermediate or other large area service units will be to help them to learn how to interpret and utilize research findings in resolving some of their problems, and to plan and to effect needed changes in organization, programs and procedures. Few state agencies are currently organized or staffed to provide such services in a purposeful or constructive manner.

Relations with Other States and Organizations

Until comparatively recent years there was relatively little interstate cooperation on matters relating to education. States newly admitted to the Union often "borrowed" or adapted some constitutional and legal provisions from the older states. Occasionally a few representatives from one state would visit another to confer on some matter of mutual interest. But a number of factors, including in many instances rather severe restrictions on out-of-state travel, tended to limit even informal cooperation.

A number of developments during the past quarter of a century have resulted in substantial increases in cooperation among states and especially between states that have recognized common interests. For example, the Council of Chief State School Officers, that was dominated at

least in numbers for many years by popularly elected and often politically oriented superintendents, has developed into an influential organization with strong professional interests and concerns. It has sponsored the development of a study commission to assemble information on current issues for consideration by members of the council, published several significant reports, and has become active and influential in dealing nationally with matters of concern to the states.

Other facilitating developments include:

- A growing awareness that many developments have important implications for all states and that there are many problems and perhaps solutions that may be common to several states;
- The establishment of a number of organizations concerned with special aspects of education that transcend state boundaries;
- The organization of the Education Commission of the States that is concerned with studies, conferences and proposals that are of concern to all states; and
- Federal legislation, especially Title V, Section 505 of the Elementary and Secondary Education Act of 1965 (ESEA), that provides funds designed to encourage and facilitate interstate cooperation in projects that are of special interest to more than one state.

Section 505, Title V of ESEA probably has contributed more than any other single development to the improvement of state education agencies and to meaningful cooperation of states in planning and effecting improvements in provisions for education. Many other developments including the organization of the Education Commission of the States and the federally financed regional laboratories have not only stimulated interstate cooperation on matters of mutual interest but have contributed in many potentially significant ways to the improvement of education.

Many new organizations—including commercial enterprises—concerned not only with instructional materials, methods and media but also with various technologies that have important implications for education, have provided new challenges for state and local education agencies, and indirectly at least have helped to focus attention on the importance of interstate cooperation in planning for the selection and most effective utilization of materials and procedures. Thus, interstate cooperation has, by necessity, expanded to include not only state education agencies but also a variety of other groups and organizations.

Relations with Federal Agencies

The nature and significance of the role and responsibilities of the states in and for education during the coming years will be determined by many forces and factors. In each state these will include: the expectations and demands of the people; the kind and nature of legal provisions; the

quality of the political and educational leadership provided; and the extent to which the state education agency, local school systems and institutions of higher learning are in a position to cooperate and obtain support in planning and effecting needed changes in education. *The most important factor in the future will undoubtedly be how effectively and adequately the states discharge their responsibilities for education.* If the states neglect these responsibilities, the federal government can and may intervene to the extent considered necessary in an attempt to ensure the attainment of national purposes.

The national interest in education has been evidenced from the beginning by the provision of land grants and funds authorized by Congress and by a number of decisions by the U. S. Supreme Court. There are many indications that during the coming years the proportion of funds for the support of education provided by the federal government will increase and that additional important decisions affecting education will be made on the basis of appeals to the Supreme Court.

The rather substantial increase in funds for education provided by Congress during the past decade has already stimulated the states to make important changes in their provisions for certain aspects of education, but also has confronted them with many problems. Most of these problems have resulted primarily from such developments as the following: appropriations at present are categorical in nature—that is, can be used only for the purposes designated by Congress; requirements that have been established result in considerable extra work in preparing applications and reports; in some cases, state priorities have been distorted; the requirement for the establishment of advisory committees for certain funds and programs has provided some complications and problems for a number of states; and funding usually has been inadequate, uncertain, and so late that realistic planning is almost impossible. However, as a result of the dissatisfaction expressed by the states, pressure by a number of national organizations interested in education and other related developments, there are indications that advance funding and block grants for broader and more functional programs may soon be authorized, and that the application, reporting and evaluational formalities will be simplified. These developments are likely to be retarded by states that fail to demonstrate the capacity to meet their basic responsibilities for education, or to be facilitated to the extent that states demonstrate their ability to effect needed improvements in education.

On the basis of a recent study, Milstein concluded that the impact of federal grants on state policy may be as dependent, or almost so, on the leadership qualities of the state education agencies as on stipulations for the grants themselves. He noted that:

> With strong leadership, the state education agency can do much to further its own objectives. Without strong leadership it can be led by the "carrot" of the dollar and the "stick" of regulations and guidelines to become the purely regulatory agency which critics of federal aid portend.[10]

It should be apparent, therefore, that if the states are to be in a

position to discharge their responsibilities for education adequately and effectively, the state agency for education in every state must be administered by a highly competent chief state school officer who can provide effective leadership, and be properly staffed with competent personnel who are in a position to provide the leadership and services needed to participate effectively in implementing the concept of "creative federalism"[11] (bona fide inter-governmental cooperation), and to ensure that the state is in a position to assume its appropriate role and responsibilities in improving its own program and provisions for education.

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[2]*Ibid.*, pp. 94-95, 144, and 176-77.

[3]For further discussion of this and other alternatives see "Control of Higher Education: Where Is It Heading?" *Compact* (Denver, Colorado: The Education Commission of the States), Volume 3, No. 3 (June 1969).

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[5]Fred F. Beach and Robert F. Will, *The State and Education*, Office of Education, U. S. Department of Health, Education, and Welfare, Misc. No. 23 (Washington: Government Printing Office, 1955), p. 4.

[6]Ewald B. Nyquist, "State Organization and Responsibilities for Education," in *Emerging Designs for Education*, Edgar L. Morphet and David L. Jesser, eds. (Denver, Colorado: Designing Education for the Future, 1968), p. 154. Republished by Citation Press, Scholastic Magazines, Inc., New York, N.Y.

[7]*Report of the Governor's Commission on Educational Reform* (Lansing, Michigan: Office of the Governor, 1969), p. 2.

[8]Arthur D. Little, Inc., *The Emerging Requirements for Effective Leadership in California* (Sacramento, California: State Department of Education, Nov. 1964), p. 56.

[9]Ewald B. Nyquist, "State Organization and Responsibilities for Education," *op. cit.*, p. 36.

[10]Mike M. Milstein, "Federal Aid and State Education Agencies," *Administrators Notebook*, Vol. XVI, No. 7, (March 1968).

[11]R. L. Johns, "State Organization and Responsibilities for Education," in *Implications for Education of Prospective Changes in Society*, Edgar L. Morphet and Charles O. Ryan, eds. (Denver, Colorado: Designing Education for the Future, 1967), p. 266. Republished by Citation Press, Scholastic Magazines, Inc., New York, N.Y.

Chapter 4

Planning and Effecting Improvements In Education:

The Emerging Role of State Education Agencies*

Many people believe strongly in and probably will continue to defend vigorously the long-accepted concept of *local control of education.* The term itself seems to many to imply that all important decisions regarding education can and should be made within each local school system, and that such decisions will be "better" for each community and for the state and nation than if some of them were made at the state and/or national levels of government.

Many studies have shown that, under modern conditions, a literal interpretation and application of the concept of local control would be impractical and could only result in chaos. Let us assume, for example, that neither the state nor the federal government were to have any responsibility for or control over financial support of education—that each school system, regardless of its ability, were to have complete control and responsibility in this area. Obviously, the inequities and injustices would be too serious to be tolerated in any state. As explained below, the phrase *local responsibility for education* provides a much more appropriate and meaningful concept than *local control of education.*

The terms *control* and *power* are interrelated. Johns and Morphet have directed attention to what many authorities consider to be a misconception underlying some of the controversies relating to the "power" of governmental organizations. They noted that:

> . . . many educators . . . seem to assume a scarcity theory about power that is similar to the old, discredited economic theory of scarcity. That theory held that the only way in which a person or group could improve its economic status was to lower the economic status of some other person or group. We now know that improving the economic status of a disadvantaged group tends to improve the economic status of a society. Improving the power of one subgroup in a social system tends to increase the power of the system, provided the power is used to effect changes that will be beneficial to the system and to society.[1]

Both the terms *control* and *power,* when used in connection with any agency or organization, imply the authority to make, and the responsibility for making, certain kinds of decisions. In discussing the forces shap-

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ing educational leadership and decision-making power, Nyquist commented:

> Decision making is becoming more complex—involving the interaction of many variables and of many people and agencies. It is becoming more consensual in that authoritarian and paternalistic decisions flowing from remote heights of a steeply hierarchical system of centralized bureaucracy are no longer possible without the involvement, mutual consent, and agreement of others. Decision making is increasingly characterized by interdependence of peer agencies and superordinate and subordinate systems and organizations. All of this is not surprising — there is universal interest in education, and provision for it is now commonly accepted as a *shared responsibility* involving many partners.[2]

The expression *strengthening state education agencies* that has been used frequently in the literature during recent years has been interpreted by some people to mean or imply that these agencies should have greater power than they do at present to control and make decisions about all aspects of education. When considered in the context discussed above, it should be apparent that this expression should instead be interpreted to mean *increasing the capacity of state education agencies to provide effective leadership in arriving at and implementing decisions pertinent to the process of planning and effecting improvements in education in the state.*

State and Local Responsibilities for Education

In this highly complex society there seems to be "an upward drift" of decision making. Several factors are undoubtedly contributing to this tendency. Chandler has commented on what seems to be one of them:

> An important axiom in political science is that when one level of government is unable or unwilling to meet the desires and needs of people, assistance is sought from the next higher level of government.[3]

Nyquist has stated:

> Many factors . . . have a central thrust that is forcing a redistribution of decision-making power in American education and reshaping educational leadership. This decision-making power is: (1) rising vertically to higher levels of government (regional, state, and federal) and is therefore becoming more centralized, and (2) paradoxically, is being dispersed laterally, voluntarily or involuntarily, to other groups, lay, professional, and civil. In short, the forces behind these trends and concepts strongly suggest that: (1) the traditional concept of local control in education is becoming increasingly mythical, and (2) either the local school superintendency and the . . . state department of education and state superintendency as traditionally perceived are obsolete, or that many school and state superintendents are obsolete, and what we are witnessing is a redefinition of professionalism at these levels.[4]

Unilateral authoritarian decisions are no longer defensible in any educational agency or institution, and are being displaced by procedures and relationships that require the assumption of a collegial role for administrators and boards of education, and that decisions be based on the development of an operational consensus. Interestingly these trends seem to be enhancing the opportunities for leadership of those who are in a position to identify the basic problems—including the causes and factors involved—, to direct attention to needed changes, and who are willing to share their leadership responsibilities with others.

Recent and prospective developments in society and in education point clearly to the need for reconsidering many long-accepted traditions relating to responsibilities for education in every state. Most states will need at least to assume increased responsibility for financial support, for provisions for district organization, for the development of communications networks and the establishment of centers for the storage and retrieval of information, for the improvement of learning environments, opportunities and procedures, and for the development of appropriate criteria and procedures for the evaluation of, and reporting on, problems and progress. Much needless controversy might be avoided if the citizens in each state could agree on criteria such as the following: (1) *only those responsibilities should be assumed and decisions made by the state that are essential to ensure adequate and defensible provisions for education throughout the state;* and (2) *all other responsibilities, and especially those that require decisions relating to local needs and facilitate the development of local leadership and responsibility, should be assigned to properly organized local school systems and area units.*

Wise decisions at the state level by the governor, the legislature and/or the state education agency can increase the opportunity for the exercise of local responsibility for education; unwise decisions, on the other hand, can limit, or even deny, any opportunity for meaningful local responsibility in the area or aspect with which the decisions are concerned. A few examples of respects in which decisions in certain states have limited local responsibility are:

- The school code has been developed in such a way that local school systems cannot undertake any new program or type of activity unless it is specifically authorized by law;
- When the laws require a favorable vote by a substantial majority of the electorate before certain local decisions can be implemented, the state makes it possible for a minority of the voters to prevent any implementation;
- The funds provided by the state are so limited or apportioned that many districts, even with high effort, cannot provide a defensible program—in other words, the state laws, in effect, mandate gross inequalities in educational opportunity; and
- State laws and policies place so much emphasis on observing traditional standards and procedures that there is little incentive or opportunity for local school systems to plan for change or to develop or implement promising kinds of policies and programs.

Conditions are most favorable for the exercise of bona fide local responsibility when:

- None of the above kinds of constraints exist;
- The people in each local school system insist on high quality and responsible leadership and services;

- No districts in the state are so small that they cannot operate effectively, or are so large that they become unwieldy; and
- The state education agency is so organized and operated that it provides effective leadership in planning and effecting improvements in all aspects of education in the state, and encourages and assists local school systems to plan and effect needed changes and to measure progress in improving their own services and programs.

As pointed out earlier, the increase in the power of one level of government to deal effectively with an educational problem does not necessarily decrease the power of another level of government to deal with that problem. In fact, if any increase in the power of the federal government to deal with a problem is wisely conceived and planned, this action should increase the power of states and of local school systems to deal with that problem. The implications of this concept are illustrated by the actions of the federal government that are designed to facilitate the use of education to reduce economic and social deprivation that, in turn, have enhanced to some extent the ability, and even the desire, of the states and of local school systems to make progress in this area.

However, *power can be used to limit or even to prevent the exercise of leadership and responsibility*. Certain states have used some of their power over education arbitrarily and unwisely; others have delegated much of the responsibility for education to local school systems—some of which have not been in a position to use it prudently. Partly for these reasons, and partly as a result of the growing awareness of and concern about some of the serious weaknesses of education, many people have been advocating some major changes in the provisions for education. Some of the most obvious alternatives in state-local relations and responsibilities are considered briefly under the headings that follow.

State Support and Administration of Schools

This alternative was selected as the model to be followed in Australia in providing for education. Complete state support was advocated in this country by Henry C. Morrison nearly four decades ago and was adopted by Hawaii when it attained statehood recently. During the past few years state support, but not necessarily state operation and administration of schools, has been advocated by a number of leaders, and currently is being seriously considered in several states.

Some Possible Advantages

- Many of the present inefficiencies resulting from the continuation of inadequate districts, arbitrarily gerrymandered district boundaries, and inept local leadership and management could be eliminated.
- The state could eliminate the gross inequalities in educational opportunities and inequities for taxpayers that are now commonplace.

- The state should be in a better position to plan and effect improvements in education within its boundaries than would be possible under any other type of arrangement.

Some Possible Disadvantages

- Many people who would accept the concept of complete state support—at least for the basic or foundation program—would seriously object to the concept of state administration and operation of schools.
- State administration of all schools would probably tend to result in the development of a bureaucratic structure that would be likely to resist change, insist on operational uniformity, and become insensitive to needs that differ from one area or community to another, from school to school, and even among the students in each school.
- There are major technical difficulties, disadvantages and diseconomies in attempting to administer large school systems and schools as well as in operating small ones. These would seem to be especially applicable in a state that would undertake to administer all schools and programs. The evidence indicates that, once a critical threshold in size has been exceeded, the disadvantages rapidly begin to outweigh the advantages and increasing rigidity seems to be inevitable. A major disadvantage seems to result from the frustration of substantial numbers of people who feel that there is no way they can have any significant influence on developments.

Development of New Kinds of Area Units and Reassignment of Responsibilities

Many people apparently assume that the best way to resolve the problems resulting from small districts and the wide differences in local ability in most states is to continue to press for the organization of larger districts. Any significant reorganization of districts would reduce the range in local ability to support schools, but might tend to create other problems that seem to be associated with size in the largest districts in the state.

Several authorities have proposed another approach to the solution, not only of these problems, but of some of the issues relating to the role and responsibilities of the state education agency. Hooker and Mueller,[5] for example, after studying the present pattern of district organization in the Kansas City and St. Louis metropolitan areas (which they found to be discriminatory and indefensible), proposed that, in each case, the entire metropolitan area be organized as one unit for basic local support of schools and perhaps for coordination of planning and research and the provision of some special services. *Districts primarily responsible for the operation of schools and the development of adequate and appropriate educational programs* (each of which might have some local taxing leeway) *would then be established within the area.* These operating districts would be in a position to devote primary attention to the improvement of the educational

program and to provide for widespread participation in decisions relating to this program if they choose to do so.

Some Possible Advantages

- If large-area basic taxing units were organized throughout a state, each of which would include logically organized operating units, the problems of the state in ensuring equitable financial support would be greatly simplified, and could readily be resolved.
- The operating units could be kept to a reasonable size, would not need to devote major attention to the matter of obtaining revenues for the support of schools, and, therefore, could devote most of their attention to the improvement of the educational program.
- State education agency personnel would be in an improved position to devote maximum attention to assisting all districts in planning and effecting needed improvements in education.

Some Possible Disadvantages

- Since this is a new concept, many people—including educators—would probably tend to view it with considerable doubt and skepticism.
- An equitable and defensible plan for distributing funds to the operating units would need to be developed, and some controversies regarding any plan proposed would need to be anticipated.

Elimination of Small Districts and Reconsideration of State Responsibilities

In the light of the evidence available, it seems apparent that no school district having fewer than 2,500 or perhaps even 4,000 or 5,000 students can be justified in any state. Reorganization to eliminate all small districts thus seems to be essential and would have important implications for local responsibility and for the role of the state education agency. But, unless the large districts (especially those having more than 200,000 or 300,000 students) are also reorganized, such districts may tend to be handicapped by bureaucratic rigidities, impersonal relations and unhealthy tensions.

Some Possible Advantages

- The problem of developing an equitable plan for state support would be simplified in many states.
- The personnel in the state agency would be in a much better position to provide effective leadership and devote increased attention to the matter of helping to plan and effect needed changes in education and to evaluate progress.

Some Possible Disadvantages

- If the only significant change is in the *size* of districts, the personnel

of the state education agency in some states might tend to continue with the pattern of services that had previously been established.

- In several states, some of the urban districts may be too large and cumbersome to operate effectively.

Role in Establishing Goals, Policies and Priorities

On the basis of the discussion in the early part of this chapter, it should be apparent that any state education agency would be ill advised to assume that it should attempt to *establish* the goals, policies and priorities for education in the state. Instead its appropriate and necessary role is to provide the leadership and services that will facilitate the acceptance and establishment of appropriate goals, policies and priorities if it is to contribute effectively to the improvement of education.

The Selection of Goals

The educational system should be organized for the benefit of students and of the society in which they will function. All goals for education should, therefore, be directly or indirectly concerned with, and designed to facilitate, *quality or excellence in student learning.* Appropriate statements of goals are essential in every state as a basis for developing effective strategies for the improvement of learning, and for measuring progress. These goals and the strategies for attaining them provide the basis for establishing necessary accountability in education.[6]

It makes little sense to prepare statements of goals, then assume that somehow the goals will be attained—as has frequently occurred in the past. *Specific steps and procedures need to be planned for attaining each and all goals,* and for measuring the progress of each student and of all students. Every effort needs to be made *to eliminate the traditional and dangerous gap between what is actually done and what is stated as a necessary or desirable goal.* This gap constitutes one important basis for much of the current discontent and disillusionment in the nation. Harman has commented perceptively:

> The basic issue for education is the choice of goals; all else follows this. What is it we are trying to do? But for this statement to make sense we have to be using the word 'choice' in the sense . . . [of] a commitment of psychic, human, and economic resources in a particular direction. In that sense the choice is not necessarily what the society or its leaders may *declare* it to be. The choice is, rather, *inferred from where the society puts its resources*....
>
> The goals of the educational system are much more a function of the choices the society has made, or is making, than they are a consequence of the declarations of the educational leaders . . . . This choice tends to set the constraints on what, in the long run, will be fostered, tolerated, or opposed.[7]

One of the fundamental responsibilities of every state education agency—and a major aspect of its role—is to provide the leadership and services needed to help to ensure the wise choice of appropriate goals for education and the development and continuous updating of meaningful statements of these goals, to devise appropriate strategies for attaining each and all goals,

and to evaluate and provide information on the progress that is being made. But knowledgeable and representative people and competent consultants need to be involved in this process. It cannot be done successfully only by staff members of the department, approved by the state board, and then "imposed" on the people. In fact, before the goals and procedures are "established" it is essential that there be widespread agreement that they are the best that can be devised, that everyone concerned should cooperate in the implementation, and that local school systems should seek to develop any supplementary goals and procedures considered necessary.

The Development of Policies

A policy is a general guide for future decisions and action. It indicates that a certain general course is to be followed but does not specify the details of the course or of the action to be taken. Thus, it leaves opportunity for individual or group initiative and creativity in planning and implementing the details. Policies, when agreed upon, should be stated in written form as one means of avoiding the misunderstanding or dissension that is almost certain to arise when an administrator, or a representative of an agency—such as the state education agency—has in mind for his own guidance some policy that has not been clearly communicated to others who would be affected.

Every state education agency should develop, or provide leadership in developing, at least three kinds of interrelated goals and policies: (1) those relating to its own organization and operation; (2) those pertaining to the organization and operation of the educational program in the state; and (3) those pertaining to its relations with other agencies, institutions and organizations within and without the state. As previously noted, the kind and scope of policies that may be developed by a state education agency are restricted in some respects by legal and other provisions, but the policies developed by the agency may, in turn, result in the modification of some of these restrictions.

The development of defensible policies requires: (1) assembling and analyzing all data pertinent to the area or aspect being considered; (2) systematic study of the data and careful analyses of the findings to determine implications for policies; (3) a perceptive study of the data and implications in an effort to identify feasible alternative policies; (4) a serious effort to ascertain the implications or probable consequences of each alternative identified; and (5) the use of value judgments, especially in situations where the evidence is inconclusive, in an effort to select the alternative to be recommended. Since value judgments are often utilized in deciding upon policies that would effect substantial numbers of people, it should be considered essential to involve competent representatives of the groups that would be affected in arriving at the decisions.

In presenting proposals relating to policies to the state board of education, the chief state school officer and his staff have an opportunity either to help the members of the board to develop a better understanding of

some of the basic problems and issues in education, or to attempt to influence them merely to "rubber stamp" the conclusions reached by the departmental bureaucracy. If there is only one feasible alternative relating to a particular policy it should be proposed and a full explanation provided. In cases where there are two or more alternatives with nearly equal advantages and disadvantages, these should be presented and explained and recommendations made to the state board which should be encouraged to discuss the issues fully and arrive at a decision it can defend and support.

There will be some instances where a policy cannot be approved and formally adopted by the state board as a guide for action unless the legislature approves a change in laws or enacts new legislation. In such cases, the state board should decide on the most defensible policy, and submit a definite recommendation, supported by pertinent information, to the legislature for action.

The Development and Establishment of Priorities

Partly because of the lags and deficiencies in education during prior years, and partly because of emerging or newly recognized needs and complexities, it probably would not be feasible for any state to attempt to implement all important improvements at the same time. The demands on the staff, the students and the economy usually would make this impractical, and the lag in understanding of the need by substantial numbers of people probably would mean that it would be impossible to achieve. For these and other reasons, priorities and sequential steps in effecting needed improvements in education will undoubtedly need to be established in every state.

Among the criteria that should be considered in establishing priorities are the following: (1) *the humane concerns*—the activities, programs or changes that will contribute most to the solution of both the current and long-range problems of society; (2) *the range of influence*—the potential significance for substantial numbers, or at least for the seriously disadvantaged, of the proposed change; (3) *the feasibility*—the probability that what is proposed will make a significant difference; and (4) *the prospects for an expanding public acceptance*—that is, the probability that the change will attract enough favorable attention that it will soon be accepted in many parts of the state.

These and other considerations provide the basis for establishing priorities in terms of a logical time span: immediate or short-range—within a year or two; intermediate range—two to five years; and long-range—over a period of five to ten or more years. Important for consideration by every state in establishing priorities are the recommendations of the National Advisory Council for State Departments of Education concerning the emerging national priorities, including those for more rational planning, for the improvement of urban education, and for the development of early childhood education.[8]

Role in Improving Education

Every agency, institution and organization finds it much easier to continue what it has been accustomed to doing than to make changes designed to meet emerging needs. The process of change almost always results in uncertainties, tensions and frequently in conflicts for, or among the members of, any organization or social system. These strains are likely to be maximized when any change is mandated or imposed, and to be minimized when members of a group or social system have an opportunity to study developments, and to participate not only in deciding upon the changes that are needed but also in planning the procedures or strategies for implementation.

During prior years, many state education agencies have been reasonably effective in establishing standards and regulations, in conducting inspectorial-supervisory activities, and in helping to ameliorate periodic problems or crisis situations primarily in rural areas of the state. But recent developments have resulted in significant changes in traditional roles such as these in most states. The growing recognition that there are serious inadequacies and deficiencies in education and the demands for major improvements in urban as well as rural areas will undoubtedly result in further important changes not only in local school systems and in institutions of higher learning, but also in the roles, functions and relations of state education agencies. But some of these prospective changes are almost certain to be resisted by many parents, legislators and even by educators at all levels. They will not be made without considerable stress and conflict in many states, and inevitably will involve and effect the role and functions of state education agencies.

Until recently, relatively few people in most state education agencies—or in many other agencies for that matter—have had much more than a few general ideas about the basic concepts and processes involved in planning in bringing about changes, or in measuring the effects of changes. But, while that situation has improved rapidly in some states during the past few years, it will need to change even more significantly in every state if, as many developments indicate, one of the major emerging roles of every state education agency will be to provide effective leadership in planning and implementing needed changes in education throughout the state and in measuring and reporting on the adequacy and appropriateness of the improvements.

Role of State Education Agencies in Planning

A few years ago, those who emphasized the importance of planning (other than in private enterprise) tended to be viewed with suspicion—as possible advocates of totalitarian-oriented procedures for developing a *planned society* and for controlling the lives of people. However, the evidence that has become available during recent years has apparently convinced most people that many changes are almost certain to occur in

society, that some of these can be harmful while others can be beneficial to humanity, and that appropriate planning procedures offer the best hope for avoiding some of the most harmful potential changes. The concept of planning for control or elimination of pollution of water and the atmosphere for example, has been generally recognized as essential, but relatively few people have any real understanding of the procedures or the complexities involved in developing appropriate plans in a *planning society*.

The concept of planning to eliminate deficiencies and to provide for the improvement of education has gained rather widespread sentimental approval, but only limited support in terms of the financial and other resources needed. Too often many citizens, including some legislators and educators, seem to assume that defensible plans can be developed in a short time by a few people who can get together and readily come up with "a plan" that will resolve all of the problems. This is, indeed, a naive concept of what modern planning involves.

In reality, planning is a complex systematic process that involves many difficult and interrelated activities including: ascertaining in detail present problems and unmet and emerging needs; identifying and stating clearly appropriate long-range goals; determining feasible alternative policies and strategies for attaining the goals and the advantages and disadvantages of each; selecting the best (most defensible) alternatives; establishing priorities and sequential steps; and determining and marshalling the necessary resources and deciding upon the most appropriate procedures needed to implement various aspects of the plan. In the process of developing a plan, not only the best information available and all appropriate technologies must be utilized, but also serious attention will need to be devoted to careful consideration of the relation of each aspect of education to other aspects and to the total system.

Thus, by utilizing a defensible means of combining values, appropriate data, and creative imagination, it should be possible for us to create the kind of future for education that our beliefs and information recommend—rather than being involved in the less appropriate and less defensible alternative futures in which education might find itself. Shane has cautioned:

> Let us not be content to *design* educational futures based on trends that are influential or apparent today, but work to *create* the kind of world toward which men have worked for fifty centuries.[9]

A perceptive observation by Sachs should also be kept in mind:

> It is possible for man to perceive the future as well as to be influenced by the past. Men may not be able to *predict* the future in terms of specifics, but they can perceive the future in terms of goals and understandings.[10]

Continuous planning for the improvement of education is especially important because many of the changes that are occurring in modern society have significant implications for changes in education. Unless these implications are identified, properly interpreted and utilized as a basis for planning needed changes in the various aspects of education, the programs

and provisions will increasingly fail to meet the needs. Ziegler has commented:

> It is clear that the chief tool by which organizations take account of the future is planning. Planning is the traditional method for attempting to impose some order upon the future. It is a control function. It lays out a future sequence of events and stipulates a future course of action . . . .[11]

Each state is basically responsible for developing and modifying the provisions for education within its own borders. In many states, the state education agency has already been assigned or has assumed some responsibility for providing the leadership and services that are essential for planning and effecting improvements in education. Under modern conditions it seems apparent that such an assignment should definitely be made in every state. However, this assignment should not be interpreted by the legislature, by the agency staff, or by anyone else, to mean that the state education agency itself is to do all of the planning for education in the state, including that for local school systems.

There is a significant difference between the concept of providing the leadership and services essential for effective planning and that of actually doing the planning. The former means that representatives of the people will be *involved* in the planning process and in arriving at decisions and recommendations; the latter, that the "experts" will make the decisions and recommendations as well as the pertinent studies—that is, they will *plan for the people,* rather than *plan with the cooperation of representative citizens.* Some important considerations relating to the role of state education agencies in planning are discussed briefly under the headings that follow.

Planning for the Role and Functions of the State Education Agency

Some aspects of the role and functions of the state education agency are prescribed by the legislature in most states; many others must be identified, described and implemented by the agency itself. An important example of the latter relates to the role and responsibility of this agency in *planning its own role, functions, services, and procedures,* including those that are essential if it is to provide the necessary leadership in planning and effecting improvements in education.

The major purpose of systematic planning by the state department of education staff (as a component of the agency) for its own optimum role, functions and services is to develop long-range policies for the guidance of departmental operations to the end that utilization of resources can be maximized in facilitating the attainment of the major goals and objectives of education in the state.

The customary assumption until recently in many states seems to have been that when staff members of the divisions have been assigned appropriate responsibilities, all of their activities will contribute effectively to the attainment of appropriate goals that often have not been clearly stated or agreed upon. In some situations, competition for power, prestige, or funds

has been much more apparent than cooperation in attaining suitable goals pertaining to the improvement of education. *Only through the difficult process of relating functions and services to appropriate goals, can a department staff maximize its contributions and be in a position to provide effective leadership in planning for and effecting improvements in education.*

The proposals and policies developed by the staff for the role and services of the department should be submitted to the state board of education for approval or suggestions for modification. Some educators and other citizens believe that, as a means of facilitating understanding and communication and of helping to ensure that the plans relate meaningfully to educational concerns in the state, a competent and representative advisory committee should be selected to review and suggest revisions in the proposals before they are submitted to the state board for consideration.

Leadership and Services in Planning

Any state education agency staff that plans realistically for its own role and functions necessarily includes, and places considerable emphasis upon, those relating to state leadership and services in planning improvements in education. The staff of the department of education, therefore, should include not only people who are especially competent and knowledgeable in areas such as instruction and learning, curriculum, multi-media methods and materials, law, and finance, but also people who have special competencies in various aspects of planning, the processes of change, evaluation, group dynamics and so on. Almost everyone, under modern conditions, should be able to function effectively not only in his own area of special interest and competence, but also as a member of a team, task force or group concerned with a series of interrelated problems. Many will also need to be able to work constructively with groups including other educators and lay citizens who are concerned with various aspects of planning and change in education and related issues.

All state agency personnel need to understand that the function of the agency is *not to do the planning* for the improvement of education in the state, but rather to provide the leadership, coordination and some of the services that are essential for effective planning. The agency will need, among other things, to develop and implement an appropriate management information system; assemble and disseminate information on progress in education, on emerging problems and issues, and on promising developments and trends; provide some of the technical services that will be needed; and arrange for other technical resources to be provided as found necessary.

Conceivably, the responsibility for educational planning in a state could be assigned to an agency or a special group responsible to the governor or to the legislature, to a group established by a university, or to a private enterprise organization on the basis of a contract. With the possible exception of special studies of certain aspects of education, the potential dis-

advantages of arrangements such as these would seem to outweigh considerably any advantages in terms of the implications for long-range planning.

Any state agency that is expected to provide leadership and services in planning for needed changes should be continuously engaged in appropriate planning activities. If the state education agency is divorced from or has only a minor role in planning improvements in education, it probably would tend to revert to the outmoded practice of emphasizing compliance with standards and regulations, and might not be in a favorable position even to provide significant assistance to local school systems or other groups in planning and effecting improvements in their own provisions and programs.

Coordination of Planning

Every state needs to develop an agency, or make some appropriate provision, for the *coordination* of the planning activities in which the various state agencies and other groups presumably will be engaged. Many have already done so. Coordination should be a continuous process—rather than something that is undertaken only after each group has completed its own plans and proposals for the year or the biennium. Since bona fide planning needs to be concerned with long-range goals and strategies for attaining them as well as with priorities and next steps, primary emphasis on annual or biennial coordination would probably tend to be counterproductive and to result in struggles for power, prestige and funds that, through appropriate procedures, could be minimized or at least viewed from a more defensible perspective.

A coordinating agency should be in a position to assist all state agencies and groups at all stages of the planning process by providing technical and consulting assistance and suggesting matters of special concern that have been identified by various groups.

The state education agency should make a special effort to facilitate cooperation in and coordination of planning among all educational agencies and institutions, primarily because all aspects of education are interrelated in many ways. Cooperation in planning to meet emerging needs and in attempting to obtain adequate resources for education at all levels can be far more productive than the competition that currently prevails in a number of states. The state agency should also attempt to find effective ways of coordinating its own planning efforts with those of other federal, state and local agencies that have closely related interests and concerns.

Helping Local School Systems to Plan

Relatively few local school systems have staff members who know much about systematic planning except perhaps for the next year's budget or for school facilities. Fewer still, because of the many demands on their limited funds, have more than token financial resources that can be utilized

for long-range planning. Yet, because of obvious inadequacies in the provisions for education and the demands for more effective programs and better accountability, the need for planning is as obvious and urgent as it is at the state level.

Few state education agencies have made any serious attempt to help local school systems (or area service units where these have been established) to learn how to plan, or with their efforts to plan. In the first place, few local school systems have requested or insisted on such services and, in the second place, only a limited number of state agencies have been in a position to provide these services. But this situation is changing rapidly and, as more districts become aware of the necessity for planning, the pressure on state education agencies to provide assistance will greatly increase.

Perhaps one of the first requests from some districts in states in which the education agency has developed a recognized planning capability will be for that agency to develop, or to suggest some group that can develop, a plan for the district. Any such request should be resisted, partly because the development of plans for a district is not an appropriate role or function of a state education agency, but primarily because the district will not learn much about planning—or may not benefit much from any plan that is developed—unless its personnel are involved in the planning process.

Every state education agency, however, should be prepared to assist, or to suggest competent people who can assist, urban as well as rural school systems to engage in systematic planning for the improvement of their programs, and to devise defensible procedures for implementing the plans and evaluating the adequacy and appropriateness of the changes that are made.

Resources for Planning

The extent to which a state education agency or a local school system can become seriously involved in planning is determined in part by the concepts, attitudes and concerns of influential citizens—especially those in the power structure—and in part, by the impression its activities and "public image" have created. Thus, state and local educational systems to some extent can become creators of the environment in which they will function, yet are likely to be constrained or limited in what they can do by the existing environment.

No state or local agency can become seriously involved in planning unless reasonably adequate resources are available in terms of personnel and essential funds. At the present time, these are severely limited in most cases except as they can be obtained through federally financed projects. Few states or local school systems have seriously faced their responsibilities to provide more than minimal resources for educational planning. But even when (or if) reasonably adequate personnel and funds are available, other problems may result from the naivete of legislators, boards, or educators who believe (perhaps as a result of clever salesmanship or promotion

by the representatives of the organizations or institutions concerned) that an outside group of "experts"—if properly compensated—can do a better job of planning than would otherwise be possible. However, the fundamental test that should be applied is: What impact will the proposed plans have on the improvement of education? There is considerable evidence to indicate that *significant improvements in education are most likely to be made when the people who are concerned or affected have been seriously involved in the process of planning these improvements.*

These observations should not be interpreted to mean that planning should be left to the novices or to persons with vested interests. Quite the contrary is true. The services and contributions of various kinds of planning experts and technicians are essential primarily for the purposes of analyzing and interpreting pertinent data, identifying feasible goals, determining alternative strategies for attaining the goals, and ascertaining the probable advantages and disadvantages of each. Expert consultants can also provide valuable guidance and assistance. But in the final analysis, the experts should not attempt, or be expected, to make the basic decisions regarding the alternatives to be accepted and the plans to be adopted. *These basic policy decisions should be made by representatives of the people who will be affected*—that is by the local board of education, the state board, or, in cases involving basic state policy, by the legislature.

In a number of states and local school systems, special study committees and, in some cases, an advisory committee including competent lay citizens as well as educators, have been appointed to assist the state education agency with special studies or to advise on recommendations before they are adopted. This procedure not only increases the number of people who have an opportunity to participate in, become informed about, and contribute to important aspects of the planning process, but also tends to broaden the base of support for the recommendations that are approved and to facilitate implementation of the plans.

Role of State Education Agencies in Implementing Plans

As previously indicated, proposals for any significant change are likely to create tensions and controversy. Many people tend to resist all such proposals. Thus, while the development of plans involves many complications and difficulties, proposals or steps taken to implement any major aspects of the plans, regardless of their merit, are almost certain to generate controversy and may result in strong opposition by substantial numbers of people.

Those who are involved in developing plans and procedures for implementing plans need to keep in mind the concept that *they may be able to help some people to change* their own insights, points of view and perhaps their values, *but they should not expect to change people.* One of the best ways of helping people to change their perspectives or attitudes is to provide an opportunity and incentive for them to become involved in

some aspect of the planning process or, at least, in the discussions. Thus, involving representative leaders in the process of developing plans should begin to establish a foundation for implementation. When the plans are developed by "experts"—and especially by a group of experts from outside a state or a local school system—the process of preparing for implementation may be even more difficult and complicated.

Many people might tend to assume that a state education agency should be able, without any major difficulty, to implement plans developed by its own staff relating to *its own* emerging roles, functions and relations. However, every agency is almost certain to encounter some problems because of the resistance by some members of the staff to any change in their own role or functions, misunderstandings or misinterpretations, or the inability of members of a task force or division to work together effectively. Some agencies may face serious or even temporarily insurmountable problems because of provisions in obsolete laws; line-item budgets that prevent certain changes; lack of funds to obtain the services of consultants, pay the expenses of committees, or obtain staff to implement certain aspects; or because of opposition by other educators or political leaders to some elements of the plans. Perceptive and effective leadership by the state board, the chief state school officer and key members of the staff will be essential for the satisfactory resolution of these problems.

Implementation of many aspects of the plans for improvement of education in a state is likely to present even more serious and complex problems. Some proposals probably will require changes in laws and perhaps in funding provisions before they can be implemented. Others may necessitate extensive reorientation or retraining of teachers and other staff members. Still others that incorporate new concepts or approaches may not be accepted by the public without extensive explanation and discussion. Some components that are closely related to other aspects may even be rejected, at least temporarily, and thus make it impossible to implement some of the interrelated aspects.

The development of detailed and defensible strategies for implementing any plan for the improvement of education is as essential as the development of pertinent plans for the basic planning. The state education agency should assume a major leadership role in this important process, but needs to make every effort to ensure that competent and influential leaders from throughout the state are deeply involved in developing these plans and strategies.

Role of State Education Agencies in Evaluation

Comparatively little attention has been given in the literature to the role and responsibilities of state education agencies that relate to evaluation or appraisal. In fact, few state agencies seem to have given much serious consideration until recently to this important matter. In view of the increasing demands for accountability and other developments, this responsibility obviously cannot continue to be neglected in any state.

Each state agency should be concerned with the development and utilization of appropriate procedures for continuous evaluation at least of: (1) its own role, functions, operations and relationships and its plans for, and progress in, effecting improvements; (2) the organization, programs and accomplishments of local school systems and area units; (3) the plans for improving education in the state and the progress in implementing plans (as a basis for making needed revisions); (4) the progress and accomplishments of all kinds of students at various levels; and (5) various kinds of programs and procedures in terms of cost-effectiveness and other pertinent factors.

Sooner or later every organization develops some weaknesses, inadequacies and bureaucratic tendencies that, unless promptly recognized and ameliorated, limit its effectiveness and may make it incapable of adjusting to emerging needs. The people in every state need to make a continuing effort to find effective ways of minimizing this tendency in all educational institutions and agencies that are, or should be, in an especially strategic position to facilitate the development of the future citizens. A major objective should be to help every educational institution and agency in the state to develop appropriate self-adjusting and self-renewing procedures and mechanisms and to insist on realistic provisions and requirements for accountability.

The state education agency should be in a strategic position to provide effective leadership in facilitating these and other related developments in the state. However, the agency will not be in a position to assume this role unless:

- The people and the legislature want it to do so and make appropriate provisions; and
- The agency makes a serious and continuing effort to define its appropriate role and functions relating to evaluation and accountability in the light of emerging needs, evaluates realistically its current strengths and deficiencies, and develops and implements appropriate plans and procedures for providing the essential leadership and services in the area of evaluation and accountability.

Several state education agencies currently are seriously involved in this difficult process (discussed more fully in Chapter 8) that has important implications for relations with local school systems, with nonpublic schools, with the institutions of higher learning (that prepare educators for service in the schools, the institutions and the agency), and with accrediting associations. Because of the complexities and the potentially sensitive relations with schools, educational organizations and institutions of higher learning, most state agencies may decide that they need the services not only of perceptive consultants, but also of a representative and competent advisory committee.

Every state education agency should be in a position to provide the leadership and services needed to:

- Evaluate problems and progress and revise as necessary the plans for improving education in the state;
- Develop, with the assistance of consultants and a representative committee, the criteria that should be utilized by local systems and schools in evaluating their own organization, procedures and programs, and reporting on problems and progress, including especially progress in student learning;
- Assist local school systems to evaluate and report realistically to the public on their own progress and the progress of their students;
- Encourage and assist institutions of higher learning to evaluate their programs for the pre-service and in-service preparation of educators, and to revise them as necessary to meet emerging needs; and
- Assist in developing, evaluating, utilizing and interpreting measures of cost-effectiveness.

Footnote References

[1]Roe L. Johns and Edgar L. Morphet, *The Economics and Financing of Education: A Systems Approach* (Englewood Cliffs, New Jersey: Prentice-Hall, Inc., 1969), p. 42. See also R. L. Johns, "State Organization and Responsibilities for Education," in *Implications for Education of Prospective Changes in Society*, Edgar L. Morphet and Charles O. Ryan, eds. (Denver, Colorado: Designing Education for the Future, 1967), p. 266. Republished by Citation Press, Scholastic Magazines, Inc., New York, N. Y.

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[4]Ewald B. Nyquist, *op. cit.*, p. 135.

[5]Clifford P. Hooker and Van Mueller, *Equal Treatment to Equals: A New Structure for Schools in the Kansas City and St. Louis Metropolitan Areas* (Jefferson City, Missouri: Missouri School District Reorganization Commission, June 1969).

[6]Adapted from John S. Gibson, "On Quality of Education." Unpublished paper prepared for the Colorado Committee on Public Education, April 1970.

[7]Willis W. Harman, "The Nature of Our Changing Society: Implications for Schools," pp. 64 and 65. (Prepared for the ERIC Clearinghouse on Educational Administration, Eugene, Oregon, October 1969).

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[9]Harold G. Shane, *Phi Delta Kappan*, December 1968, p. 238.

[10]Benjamin M. Sachs, "Values, Perception and Leadership Behavior," in *Selected Papers on Values*, C. Robert Blackmon, ed. Mimeographed (Lafayette, Louisiana; University of Southwestern Louisiana, August 1968), p. 31.

[11]Warren L. Ziegler, "Some Notes on How Educational Planning in the United States Looks at the Future," in *Notes on the Future of Education* (Syracuse, N.Y.: Educational Policy Research Center at Syracuse, January-February, 1970), p. 10.

PART THREE

STATE EDUCATION AGENCY LEADERSHIP IN IMPROVING EDUCATION

Chapter 5

Focus on People:
Improving Learning Environments, Opportunities and Procedures*

Considerable attention has already been given to the problems of education, of state and local organization, and of the necessary interrelations in a society that is experiencing change at an ever-increasing rate. The need for changes in the roles, functions and relations of the organizations and institutions that have fundamental responsibilities for education has also been emphasized. But if "schools are for kids," as Gibson[1] has suggested, what changes would appear to be necessary? What changes should be made in the roles, functions and relations of state and local education agencies in order that the primary *focus will be on people*—and especially on students?

Before examining possible changes in the roles, functions and relations of state and local education agencies, however, a brief summary of some apparent inadequacies in education as they relate to the individual learner seems to be appropriate. Such a review should provide these agencies with directions or mandates for needed changes. Any realistic review would probably reaffirm such inadequacies in educational programs as the following:

- Most of these programs do not seem to be designed to provide for individual needs, but instead appear to be geared to some vague and nebulous "norms."
- The present programs seem to be primarily oriented to "motivation through punishment" rather than "motivation through reward."

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- These programs do not seem to facilitate the attainment of clearly stated and meaningful goals.
- Most programs do not seem to have a high degree of relevance to emerging and changing societal needs and demands.
- These programs appear to be subject-centered, with each subject-matter program having little, if any, relationship to the other aspects of the program provided.

The degree to which educational agencies at the state and local levels are attempting to correct inadequacies that exist varies considerably from state to state and from one school system to another. Commendable efforts, with some successes, are noticeable; at the same time indefensible inactivity in situations in which the "status quo" is maintained can also be observed. *However, the serious consequences of the inadequacies in educational opportunities provided are clearly evident in virtually every state and local school district.* Throughout the nation, nearly one out of four students will drop out of school prior to graduation. (There are schools in which the drop-out rate is nearly double that for the nation.) Students, in increasing numbers, are protesting against various aspects and elements of the educational program, and are pleading for an educational system that is more responsive, more relevant, more personalized, and more productive. Parents and other taxpayers are demonstrating disaffection with the system through negative votes in elections relating to educational matters. Parents and students alike are expressing discontent in some areas through a relatively new phenomenon in education—the school boycott.

The problems and developments noted above are not intended to be used as evidence that "everything is wrong and nothing is right" in education. They should be construed as evidence—or symptoms—that there are some aspects of education in which serious problems exist, and that concerted efforts must be made to resolve these problems.

Educational leaders, as they recognize such inadequacies and their consequences, seem to have two fundamental alternatives: they could perceive the inadequacies to be of a scope and magnitude that would prohibit the development of any feasible method of coping with them; or they could determine that "because something *must* be done, something *will* be done." The first alternative (or perspective) could result only in a sense of frustration; the second, however, suggests a sense of urgency that must be developed and nurtured if these inadequacies are to be corrected.

Educational institutions and agencies at all levels need to direct their attention in a more forthright manner than ever before to the "feedback" that students, parents, taxpayers, teachers and legislators are furnishing. If they do not do so—if they fail to receive, evaluate and correctly interpret these signals—they are not likely, as Johns has observed, "to survive very long in this rapidly changing world."[2]

To "receive and evaluate" feedback, however, is only the first phase of the task. The second phase, which must be considered of paramount importance, consists of *planning for* and *implementing* the changes that the feedback signals indicate are needed.

As has been pointed out, some educational agencies have already responded to the need for change. Many state education agencies, for example, have attempted to redefine their roles, and have redirected their efforts in ways such as:

- Placing less emphasis on regulatory activities and more on leadership and service activities.
- Giving less attention to short-range "expedient" planning and much more to comprehensive long-range planning.
- Placing less emphasis on traditional organizational structures and more on developing functional organizational patterns.
- Placing less emphasis on issuing "pronouncements" and more on helping local districts to plan and develop appropriate policies and programs.

Many local education agencies—local schools and school systems—have also attempted to respond positively to the feedback signals that emanate from virtually every segment of society. Educational programs in which meaningful efforts are made to "compensate" for social and economic deprivations have been developed and implemented. Individualized learning programs, in which the individual student is of prime concern, have been initiated. Pre-school programs and other types of readiness activities have been effected. Educational enrichment activities, summer programs, and a wide variety of programs designed to meet special needs have been instituted.

Unfortunately, most efforts of the kind mentioned above have been made on a somewhat sporadic and limited basis. They apparently have been dependent upon factors such as: (1) the amount of external (federal, state, private foundation, etc.) dollars available; (2) the administrative philosophy and attitude in the school or school system; and (3) the existence of conditions that are obviously indefensible. Far too little attention seems to have been given to the "why" of education—to long-range planning, coordination of effort, and to re-evaluating, restructuring and reorganizing the overall educational program.

Many local education agencies are in need of significant assistance in these and similar areas that relate to planning and implementing improvements in the educational program. It is in such areas that meaningful help must be provided by state education agencies. In an ever-increasing manner, these agencies need to identify, develop and implement procedures that, in response to the all too evident feedback, *will assist local schools and school systems to plan for improvements in learning environments, in learning opportunities, and in learning procedures.*

Improving Environments for Learning

Where does learning take place? In what kinds of environment should education and learning be expected to occur? Under what kinds of conditions is learning best achieved? Obviously, questions such as these cannot be answered in simple terms. It cannot be said at present, for example, that learning takes place in one situation and not in another, that education and learning can take place only in *this* setting and not in *that* setting, or that learning can best be achieved only under *these* conditions and not under *those* conditions.

Some learning can—and may—take place anywhere, in almost any kind of setting, and within an almost limitless range of conditions. There are, however, certain kinds of locations, settings and conditions in which factors may be found that are more conducive to learning than in others. These will have to be more clearly identified, and strategies will need to be developed in order for educators to utilize them to the fullest advantage as efforts to facilitate learning are made.

If educational leaders at both the state and local levels are sincere in their statements relating to the need to improve or strengthen education, it is imperative that they consider the environments in which the less desirable or handicapping factors might at least be minimized if not eliminated entirely. At the same time, educators must devise strategies that will enable them to retain and strengthen those factors within the various environments that are conducive to—or which facilitate—learning. Educators need to be cognizant of the many kinds of environments that play an important part in the educational process, including the *physical* environment, the *socio-economic* environment, the *intellectual-emotional* environment and various combinations of these such as those found in the homes and neighborhoods in which students live.

The Physical Environment

Most state education agencies have demonstrated some concern about the physical environment of students. Standards have been established and statutory provisions and codes relating to sites and housing have been enforced in every state. In addition, many state education agencies have demonstrated considerable leadership in providing assistance to local school systems as they plan for the construction or improvement of facilities.

Most state education agencies, for example, include staff members who are competent in the area of facilities planning, and have worked effectively in helping local school systems to plan for, design, and construct educational facilities that are conducive to learning. At least partly as a result of efforts by these consultants, many local school systems are constructing educational facilities—physical environments—that are quite different from those that were used by an earlier generation. Many schools have changed from massive and foreboding institutions to informal and friendly struc-

tures in which the learner, rather than the "establishment," is the central concern in the physical environment.

But the physical environment in which learning may take place is not limited to school buildings or educational facilities. It includes all physical conditions that exist in the home and community—even the food, noise, smog and many other often ignored factors. Every facet of the total physical environment may affect learning in either a positive or negative way.

Facilities consultants have moved far beyond the concept that the school building constitutes the only aspect of the physical environment that should be of concern. They have developed a much broader perspective regarding the physical environment that exists in relation to learning, and have experimented boldly with attractive structures and sites, "parkway schools," "educational parks," and other similar developments.

Because of their concerns, facility planning consultants have attempted to assist in developing strategies that would encourage educators and other citizens to cooperate in efforts to modify all aspects of the physical environment in which deficiencies are found. Unfortunately, concerns of this nature have not been demonstrated to any great degree for the socio-economic environment within which learning must also take place.

The Socio-Economic Environment

All too often educators and lay citizens have indicated—by actions if not words—that social conditions and economic factors are of no special concern for education. Such educators, perhaps in their ignorance, seem to expect learning to take place *in spite of* social and economic factors. Yet the work of Maslow and others makes it abundantly clear that there is an essential and vital relationship between this type of environment and education. Little if any bona fide learning can be effected or encouraged when basic needs—such as hunger and friendship—have not been met. Little, if any, effective learning occurs when the potential learners are undernourished, poorly clothed, are handicapped by poor health, or believe that they are discriminated against by their fellow students or the school staff.

Educators who assume that such students will progress satisfactorily in the formal education program will be disappointed. Instead of learning—and thus improving themselves and society (as suggested by Figure 1 in Chapter 1)—students who are alienated in this manner are likely to drop out of school at an early opportunity and be considered failures in education and probably also as contributing members of society.

Educational leaders need to become more aware—and help others become aware—of the relationships between socio-economic conditions and education. Only when these relationships are clearly recognized can constructive efforts be made to modify the social and economic factors that handicap progress in learning.

The Intellectual-Emotional Environment

The educative process—the total effort that is made to guide and facilitate learning—cannot be conducted effectively in a school that is isolated from the community in which it exists, or without appropriate consideration of all relevant factors in the internal and external environments. Two such environments have already been discussed. Still another aspect of the environment that exerts considerable influence and much pressure upon both the system and process of education is the intellectual-emotional environment in the school, the home, the community, and even in the state and nation.

This aspect of the environment is one of the most intangible and, sometimes, one of the most rapidly changing of all the environments in which education exists. Attitudes and values held by people can be quickly altered as a result of some unexpected or unforeseen occurrence. As a consequence of an environmental change of this nature, some of the goals and priorities that have been established and accepted for education may need to be reconsidered. For example, as a consequence of a campus disturbance, a news release relating to "underachievers," or the publication of a book that is critical of some aspect of education, the attitudes toward some of the accepted goals, priorities, or procedures may change rather significantly.

Some educators may well feel frustrated as they attempt to identify ways of coping with this aspect of the educational environment. They may adopt a somewhat fatalistic attitude about it—a "*que sera sera*" (what will be will be) attitude—and make no attempt to deal with it. Such educators, however, also are often frustrated by the lack of effectiveness that may be demonstrated by existing educational provisions.

As personnel of state education agencies attempt to provide the leadership and services needed to devise procedures to assist local schools and school systems to solve their own problems, special attention must be devoted to the environment in which these problems exist. In all too many instances efforts to bring about some desired and necessary change have failed, and a major cause for these failures can be attributed to a lack of concern about—or a total ignorance of—the environmental setting.

Educational leaders, at all levels, should recognize that the various environments may serve as effective deterrents to needed change, and that in some instances, changes in education may not be effected until there has been some modification in the environment. *Where environmental modification is needed in order to facilitate learning, educational leaders must be aware of this need, and be willing to attempt to meet it.*

Improving Opportunities for Learning

While needed improvements in education encompass every dimension of the educational system—including facilities, finance patterns, personnel practices, administrative arrangements and curricular organization—the

major areas in which reforms are most urgent are those relating to (1) the environments in which learning must take place; (2) the opportunities for learning that are provided; and (3) the procedures that are developed and instituted for the purpose of facilitating learning. The first of these broad areas has been discussed earlier; the latter two are discussed in this and subsequent sections of this chapter.

Each of these broad areas, however, is or should be concerned primarily with people—students, parents, teachers, administrators and lay citizens. As the state education agency addresses itself to the task of helping local schools and school systems to effect improvements, whether in aspects of the environment, learning opportunities or instructional practices and procedures, the concern for and about people must always be at the forefront—*the focus must be on people.*

The major conceptual structure of education in America was established at a time when the culture was relatively simple. Since its inception, however, the context in which education functions has changed considerably. It is no longer possible for citizens to play a responsible role in the culture and society without having benefited from the contributions that the system of education should make. Unfortunately, in many instances, this system has not developed in a manner that makes possible the contributions that are needed in light of present and future conditions. Many of the learning opportunities that are provided are outmoded and obsolete and consequently are irrelevant. The inadequate opportunities in the areas of subject matter, curriculum, application of objectives to instructional programs, materials and methods of instruction, and the deployment of both students and teachers continue to lend credence to the observation that "many teachers in the 20th Century are using 19th Century methods to educate children who will live most of their lives in the 21st Century." As a direct consequence of outmoded, obsolete and irrelevant learning opportunities, education (both as a process and a system) is not affecting the critical behavior of people as much as it should. The following characteristics of existing educational programs provide background for this statement:

- Instructional objectives are often stated in broad general terms that are somewhat related to the educational goals of the system. They identify desired *qualities* of behavior and desired *end products* of behavior, but not the actual behaviors to be produced through education.

- Many of the current practices are based on assumptions, often implicit, that are not defensible in terms of the developing reservoir of knowledge relating to learning. These assumptions include: verbal learning will change behavior; learning consists of receiving, memorizing and reciting verbal information; only about one-third of all students can learn adequately what is taught, another third will learn much of what is taught, and about a third of all students

will inevitably fail or just get by; all learners in a given group will have been provided with the preparation that will enable them to take the next proposed learning step; and those who fail or become excessively bored can drop out of school and be tolerated by society without any great concern.

- Little if any consideration is given to determining what kinds of learning are of most importance.
- Motivation for learning is achieved through punishment or threats of punishment.

Efforts to improve the equality and quality of the educational opportunities available to children, youth and adults must take existing inadequacies into consideration, and obviously must be concerned with ways of eliminating them.

If learning opportunities for all students, regardless of their location, are to be significantly improved, strategies and programs must be developed that will provide for effective implementation of numerous kinds of changes including: facilitating the development of appropriate educational goals and measurable objectives; improvements or modifications in the learning environments; and bringing together the salient features of what is known about the processes of teaching and learning. Implementation of these strategies and procedures will require many—and perhaps drastic—changes in the component aspects of education, including curricular provisions, teacher preparation programs, organizational structures, and the like. A careful examination of each of these needed changes with the leadership of state education agency personnel will not only enable the agency to describe more accurately existing patterns, but also will enable it to help local education agencies examine and select some of the more viable options for improving learning environments, developing viable curricular patterns, and effecting instructional improvements.

Developing Educational Goals and Objectives

The task of developing meaningful educational goals that are acceptable to a majority of those concerned is a challenging one that requires skillful leadership and broad involvement. Unless goals are clearly spelled out, agreed upon, and generally accepted, school improvement efforts are likely to be directionless, ineffective, and frequently merely labels without substance.

Every education agency, therefore, should continuously be involved in the development and revision of statements of educational goals, because there can be effective planning only when goals are clearly enunciated. Moreover, evaluation and accountability are feasible only when goals are stated and most are defined in behavioral terms.

But how are meaningful and mutually acceptable goals arrived at? Many times educational "goals" are spelled out, in unilateral fashion, by

some agency, institution or organization. When established in this manner, "goals" do not in fact exist. What does exist, in this kind of situation, is in reality a set of mandates that presumably must be implemented. In the past, a primary function of many state education agencies has been that of preparing such "mandates" for local schools and school systems. In recent years, however, it has become increasingly apparent that goals when established *for* subordinate groups or organizations are empty and relatively meaningless. Just as planning cannot be effectively accomplished when it is done *for* one agency *by* another, goals likewise cannot be effectively established *for* one group *by* another.

Everyone concerned with the development of goals for education probably would agree that: (1) many of these goals are appropriate for every school system in a state and, therefore, should be recognized as state-wide goals; and (2) most local school systems and schools have some problems and needs that are not common to all districts and will need to develop supplementary goals. Most people will also agree that the procedures for achieving these goals will differ in some respects from one school and district to another, and that they should not be expected to be uniform.

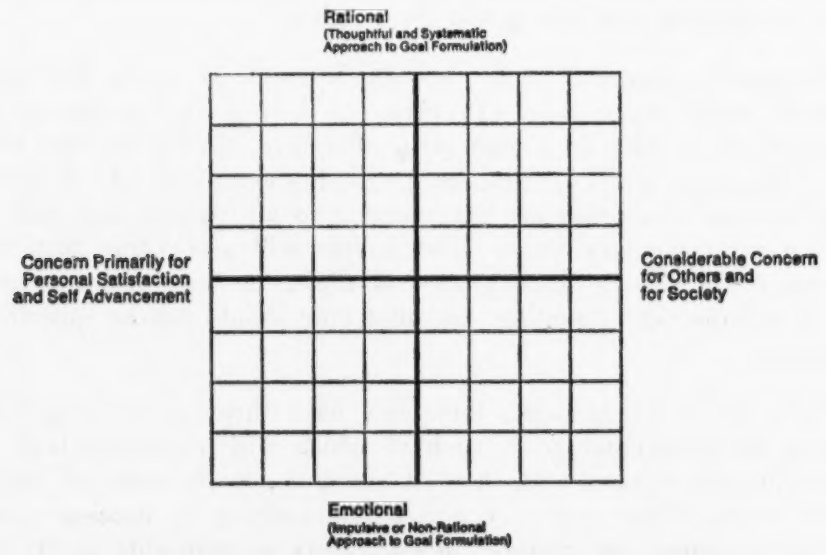
State education agencies, therefore, have three major responsibilities relating to educational goals, each of which will necessitate high quality leadership and services and, in most cases, the involvement of other competent people. These are: (1) developing, revising as necessary, and obtaining agreement on appropriate statements of state-wide goals; (2) devising and utilizing pertinent procedures for measuring and reporting on progress and problems in achieving these goals; and (3) assisting local school systems and schools to develop appropriate statements of their own supplementary goals, and to devise pertinent procedures for measuring and reporting on problems and progress in achieving both state-wide and supplementary local goals.

Any strategy that is developed or designed to assist in the definition of goals for education should have built into it the concept of involvement if the goals are to be acceptable to a majority of those affected or concerned. Some local schools and school systems possess a considerable degree of the expertise necessary to work with representative advisory committees and other groups to define and establish goals. Most local school systems, however, do not—probably largely because they have relied on "others" to define and establish goals. Providing such school systems with practical guidelines concerning utilization of the concept of involvement would seem to be an important role of the evolving state education agency.

As state education agencies prepare to provide leadership in the formulation of state goals for education and to assist local school systems in the formulation of their own goals, the considerations suggested in Figure 1 should be kept in mind. There must be a focus on people—a

concern for others—as goals are formulated; at the same time, there must be a thoughtful and rational approach. All too often, as has already been pointed out, new goals for education are established primarily on an emotional or impulsive basis. When goals are so established, they are, in effect, "straws in the wind," and will be just about as stable.

Figure 1. *Important Considerations Relating to the Formulation of Goals*


Rational
(Thoughtful and Systematic Approach to Goal Formulation)
Concern Primarily for Personal Satisfaction and Self Advancement
Considerable Concern for Others and for Society
Emotional
(Impulsive or Non-Rational Approach to Goal Formulation)

Obviously, information concerning quality, scope, and other aspects of the learning opportunities must be available in usable form before valid goals for education can be established. As is pointed out in Chapter 8, there are many ways in which these kinds of information can be assembled and made available. State education agency personnel should help to determine which could be used most effectively in specific circumstances. The information that is made available should relate, however, in rather direct fashion to the learner. All too often information concerning some aspect of education is collected and disseminated with little or no attention devoted to the probable implications for the learner.

After goals of and for education are identified and stated, viable and significant relationships must be developed between what is desired for learners and ways of advancing them toward these goals. In defining these, it is crucial that specific educational objectives for each goal be developed, and that school processes and services which are designed to advance students toward those objectives and goals include provisions for the measurement and evaluation of all steps in the sequence. If state education agency personnel can provide the kind of assistance that is needed by local schools and school systems in defining goals and objectives, learning opportunities are likely to be improved. But assistance is needed in many other areas as well.

Developing Relevant Curriculum Content

As has been suggested, needed improvements in learning opportunities must be directly related to the *goals* for education that are established and agreed upon. Some answer to the question, "What kind of persons do we want to produce?" must be provided. But goals, if they are to be achieved, must relate to specific courses of action. One such course of action, mandated by existing inadequacies, must be concerned with *what is taught*—with *what is to be learned.*

Curriculum development, over the years, has been the responsibility of a variety of agencies and institutions. Textbook publishers have been the major producers of curriculum materials and guides. State agency curriculum and textbook committees and commissions have provided teachers with guides, syllabi and suggested lists of materials. The major responsibility for the ultimate decision about what was to be learned, however, has been left largely to individual teachers. So long as the decision was related to what the total group should be learning, the individual teacher was relatively comfortable. But the increasing emphasis in recent years upon the individualization of instruction has made necessary an entirely different set of curricular decisions. A wide variety of instructional tasks—learning opportunities—that will enable the student to be relatively independent and flexible in pursuing a block of learning activities that relate to his own needs is essential. State education agency personnel, curriculum supervisors, classroom teachers, and publishers will need to identify and implement procedures that will enable the individual teacher to make the necessary and appropriate choices.

Just how best to get at needed changes in the curriculum is receiving considerable attention but as yet has not been resolved. Even so, state education agencies have the central responsibility to lead in effecting curriculum reforms. However, the curriculum reforms that are essential to meet crucial needs cannot be of a piecemeal or "bandaid" nature. Major revisions, rather than minor modifications, are called for in many instances. While considerable work has been done in some areas of the curriculum, there is need for an innovative surge that will unify the segmented and often unrelated parts into an integrated whole. The traditional subject-matter or "discipline" approach urgently needs to be supplemented or revised to include other approaches.

As state education agencies address themselves to the task of providing better learning opportunities by attempting to improve the curriculum, careful consideration of the following guidelines that have been suggested by Bebell[3] should prove useful:

- The curriculum should be based more upon process and less upon content;
- There should be a re-examination of the emphasis . . . of such content-heavy subjects such as English and history, and as a consequence, there may be a reduction in the relative amount of time given to them;

- Secondary school curriculums should be less oriented toward traditional academic fields and more oriented toward other areas;
- There should be greater independence on the part of each learner in building his own program; and
- There should be greater emphasis upon the . . . humanistic curriculum.

Utilizing guidelines similar to those suggested, state education agency personnel can provide the leadership and services that are required in the area of curriculum reform, and can help local schools and school systems to move noticeably closer to a zero-reject system[4] (devising a plan and program that will challenge and encourage "weak" students to continue their education, rather than to drop out of school) and thus enable all students to experience success in learning. If this is to be accomplished, the focus will have to be upon the learner.

But there are at least two cautions or pitfalls that should be considered:

1. *To try to balance, integrate and revamp the whole curriculum at once is too big a job.* The manpower, money and know how are not at once available. A more feasible alternative would be to divide the curriculum into two or three major streams of related studies such as science, mathematics or the humanities and begin a major overhaul of one or more of these areas of the curriculum.

2. *Curriculum development committees responsible for deciding on or recommending the kind of program needed should include a broad representation of parents and the public at large, and of students and professionals with a variety of backgrounds.* Too often curriculum committees are so narrowly represented that they lose the large perspective. A broadly representative committee, as suggested above, can help to move the emphasis in curriculum development back to where it belongs—to the purposes to be achieved—with subject matter playing its appropriate role as a vehicle for achieving the purposes.

There is nothing either new or novel about the concept of curricular change. "New" curriculums have been developed in the past, and new ones undoubtedly will continue to emerge. But many of those that have been developed have not considered, to any great degree, the needs of the learner. The result, in many instances, has been "the administering of aspirin when surgery is needed."

In attempting to effect the kinds of curricular changes that are necessary, it is essential that state education agency personnel recognize, understand, and be prepared to cope with the several powerful technological and other forces that affect or influence changes of this nature. They should also recognize—and help other educators to recognize—that certain of these forces may cause change to occur, while others may actually deter it. At least four such forces are identifiable:

- Groups and special interests that seek power over the curriculum;
- Those primarily concerned about costs;

- The rapid growth of knowledge; and
- The needs and concerns of people in schools and in the social milieu surrounding each school.

Both state and local education agencies are in a favorable position to recognize and attempt to deal with these and other forces to the advantage of learners. They must, however, do everything possible to prevent special interests that are contrary to accepted educational goals from prevailing.

Developing New Roles for Teachers

Learning opportunities are influenced by educational goals, and are related to *what* is taught and *what* is learned. But learning opportunities also are closely related to *how* subject-matter is taught, and *how* it is learned.

The concept of the classroom teacher as the "fountain of knowledge" may have sufficed in a day and age when the teacher was literally the major source for transmitting knowledge. But in an age characterized by almost instantaneous communication—and in which many learners enter the first grade with more "knowledge" than their parents possessed after several years in school—such a role will no longer suffice.

What is needed, both in the present and emerging educational environments, are teachers who perceive themselves to be *facilitators of learning*, rather than sources of knowledge. The traditional role of the teacher must change if the goals of education are to be met. As Rogers has observed:

> Teaching and the imparting of knowledge make sense in an unchanging environment. This is why it has been an unquestioned function for centuries. But if there is one truth about modern man, it is that he lives in an environment which is *continually changing*.
>
> We are . . . faced with an entirely new situation in education where the goal of education, if we are to survive, is the *facilitation of change and learning*. The only man who is educated is the man who has learned how to learn; the man who has learned how to adapt and change; the man who has realized that no knowledge is secure, that only the process of *seeking* knowledge gives a basis for security . . . .[5]

In an educational system in which *facilitation* of learning is the primary goal, the classroom teacher will necessarily have to devote major attention to the *individual* learner. All educational decisions, whether they relate to control, discipline, expectations, or to similar aspects, will have to be made with the learner foremost in mind.

State education agencies, in assuming their new and developing leadership responsibilities urgently need to attempt to find effective strategies that will assist classroom teachers to move from the more traditional role to the kind suggested above. To do so will require a high degree of expertise in working *with* people, and especially in helping local boards, administrators and teachers to understand the need for, and to effect this important change.

Improving Learning Procedures

Within the existing system of education virtually all responsibility for high quality and productive learning experiences is placed upon the individual classroom teacher. Typically, the teacher is in charge of—and almost totally responsible for—all of the essential factors and procedures that, hopefully, facilitate learning for the thirty or so students who are in the classroom.

Students, therefore, must rely upon the good fortune and/or good management of the school system if they are to have access to teachers who possess the attributes needed to diagnose learning difficulties and develop procedures designed to bring about optimum learning. Ideally every teacher should have: (1) a good understanding of the entire curriculum and of alternative teaching methods; (2) the ability to utilize and adapt a multiplicity of complex instructional media to provide variety and differentiation in order to meet the varying and different needs of students; (3) skill in diagnosing individual blocks and difficulties in learning and in adapting techniques to such needs; and (4) competency in teaching and tutoring small groups or individuals while, at the same time, using the time of all members of the unit as productively as possible.

Many educators doubt that any teacher can meet all of the above demands at a reasonable level of efficiency. Even providing for the efficient acquisition of knowledge of the subject matter on a level applicable to all learners in the unit is a formidable challenge. To provide additionally for the other desired outcomes of education is a near impossibility for any teacher.

Because of the understandable limitations that many teachers have in measuring up to these demands, the classroom unit system of teaching—the time-honored and traditional procedure for instruction—is giving way to other patterns of organizing schools and classrooms for instruction.

Commendable efforts have been made in several states and in many local school systems, and considerable improvements have been effected in procedures designed to facilitate learning. Differentiated staffing patterns, ranging from the kind of "team teaching" advocated by Trump and others, to the utilization of "teacher aides" or "paraprofessionals," have been developed and implemented in many local schools and school systems. Some states have made changes in their certification regulations that have facilitated and encouraged the use of such staffing patterns in local school systems.

In every instance the goal has been—or should be—to meet, in more adequate fashion the needs of the individual learner, and to develop procedures that do this more adequately. In order to ensure effectiveness, any such procedures should include characteristics or provisions that place emphasis upon the student, including:

- The student is encouraged and helped to be in a position, and continuously in a frame of mind, to accept the responsibility for his own

learning. Knowledge is something he himself must acquire, not that which is "shoved down his throat."

- Objectives of instruction (both for courses and topics) are defined in terms that are understood by the student and are made available to him. Students need to be helped to accept the objectives of instruction as their own goals.
- The student understands that performance measures are designed primarily to permit him to demonstrate his acquired competencies, and not merely to test his inadequacies.
- The measurement of performance is accomplished at frequent intervals for the specific purpose of permitting the teacher, student, and guidance counselor to determine what progress has been made, as well as what directions in future efforts should be planned by and for the individual student.
- Guidance will take on a new and added dimension within such a framework. It becomes a matter of helping each student to become informed about his progress and problems, the next steps to be undertaken, and the relationship of each curricular choice to his goals.
- The curriculum is sequential, and provides for continuous progress from one level of learning experience to another.
- Individual alternatives within courses of instruction are available to each student.

Curricular modifications based upon the preceding concepts are essential. However, the importance of decisions that are made regarding strategies for motivating students must not be overlooked. As Tumin has pointed out, motivation is something far more complex than "where there's a will there's a way." Rather, he implies that motivation is more appropriately described by "where there's a way there's a will."[8] It is important that strategies and procedures recognize that *learners are best motivated to pursue a goal when they perceive the goal as worth striving for, when they receive gratification in the process, when the achievement of the goal has an obvious payoff they can see and value, and when the attainment of the goal is feasible.*

As educational leaders, parents and other concerned citizens attempt to examine and utilize the role of motivation as it applies to effective learning, serious consideration must be given to ways in which motivation can be achieved. Contingency management, negative contingency management, and contract learning are but three such approaches.

Contingency Management. In this approach to improving motivation, a deliberate use of consequences—probable or real—is made to increase the probability that the learner will choose one type of behavior in the place of some less appropriate kind of behavior in a given situation. The emphasis is upon overt visible responses such as a verbal act, a social act, or a manipulative act of some kind.

Contingency management has been present in some form in schools from the earliest days of education, and will undoubtedly be readily recognized as a variation on the "reward" theme. For example, "When you get all of your spelling words correct you can read in your favorite book," is one primitive kind of contingency contract. The consequence of an imposed contract for "getting all your spelling words correct" might consist of "being able to read your favorite book." This approach is being given more precise and appropriate form by advocates of motivation management.

Negative Contingency Management. This approach has perhaps been more widely used than any other relating to motivation. Essentially, it is a system of "motivation through threat of punishment." "In order to avoid punishment, you must perform such and such an act," or "Unless you finish that, you will have to stay after school."

To attempt to utilize this concept—to infer that those who don't achieve are lazy or lack desire and that punishing those who won't engage in a given learning task with enthusiasm or maximum effort—is to deny much of what is known about human behavior. Tumin has suggested that little will be accomplished in efforts to improve education, until teachers and others can demonstrate that school and education should and can be interesting and stimulating for every student.[7]

Contract Learning. The concept of "contracting to learn" is not new. It was embodied in the Dalton and Winnetka programs of an earlier era. A modern version of this concept has recently received a relatively high degree of acceptance. More and more teachers and educators are realizing that most students can accept a greater degree of responsibility for their own learning, as they must do when "contracting to learn."

As educators develop strategies relating to this approach to motivation, considerable care must be taken to avoid any tendency to arrange for "one-sided" contracts that are dictated by the teacher and accepted, often under duress, by the pupil. Contracts of this type, if they are to bring about the kind of learning that is desired, must be *mutually arranged* and *mutually accepted.*

Alternative Roles for State Education Agencies

There are a number of emerging strategies for influencing the quality of the learning opportunities and procedures provided by local schools and school systems, each of which has implications for roles of state education agencies. As has been suggested, perhaps the most important role is that of helping local school systems to become engaged in systematic problem solving and planning and, in the process, to help them to develop relevant goals and to examine all the options for achieving these goals. Toward this end, the state education agency must be willing to assume a positive leadership role, and be ready to provide, where needed, a wide variety of kinds of services as suggested in the following paragraphs.

Technical Assistance. Many local school systems do not have within their organizational structure or range of staff competencies the capability for assessing needs, analyzing problems, identifying resources, utilizing resources effectively (from within the district and elsewhere), and installing new programs. As a result, many local school systems do not utilize as extensively as they might such helps as: sources of outside funding, the products of regional educational laboratories, the new knowledge and its potential implications and applications being produced by the several research and development centers, and the miscellaneous innovative ideas being generated by projects, workshops, conferences and scholarly papers throughout the land.

State educational agencies should be in a favorable position to provide services that would help schools and school systems with their planning and with the more effective utilization of available knowledge in effecting educational improvement. Such technical services will require these agencies to develop a staff that is specially trained in helping and consulting, as opposed to developing and imposing state generated solutions or programs. Also, state education agencies will need to establish appropriate linkages with the sources of the products and information needed by the users (local school systems) and be able to respond effectively to user needs for information and requests for help in utilizing it.

Incentives. State educational agencies traditionally have attempted to regulate quality by specifying minimum program standards. While these agencies will probably need to continue to enforce minimum standards in the interest of safety and child health and welfare, incentives designed to encourage local school systems to move beyond minimum standards can be utilized to facilitate many needed improvements. This concept is discussed in some detail in Chapter 6.

Accreditation. The accreditation of schools provides another important strategy for utilizing leadership to encourage changes in learning opportunities and procedures. Standard accreditation practices, in most states, provide for the state agency to perform two roles: (1) to serve as the coordinator for the activities of regular accrediting associations; and (2) to administer the school accreditation program for the state. Because of this dual role, the state education agency is in a good position to exert some positive influence upon the educational program. A somewhat unique method of using accreditation as a means of effecting improvements in education is discussed in Chapter 8.

Demonstration. Demonstration has proved to be one of the most effective means of publicizing new and promising educational developments that are based upon educational research. At demonstration centers, teachers and administrators can observe a new product or practice under actual operating conditions and can discuss with colleagues the problems and promises of the innovation.

State education agencies and local school systems can jointly sponsor

and support demonstration centers or demonstration projects in various educational settings. Opportunities should be provided for teachers and administrators to observe new programs in action. The state agency should then encourage and assist local school systems in adapting worthwhile innovations to local school situations.

Defining the Role of the Teacher. Inasmuch as the role of the teacher is greatly affected by the specifications for the instructional system within which the teacher performs his role, state education agencies can help to clarify or establish teacher role definition when helping local school systems to set goals, examine options, and develop procedures that hold optimum promise for meeting the objectives. As services of these kinds are provided, attention should be focused upon the appropriate role of the teacher and the competencies needed to perform this role. As a result, in-service programs and activities designed to develop the needed competencies can be arranged.

In-Service Staff Development. There is an urgent need to prepare teachers for the new competencies that are essential in their changing roles. The approaches that may be necessary to meet this need may be as numerous and almost as varied as are the school systems themselves. A random multiplicity of approaches, however, may be wasteful and grossly inefficient. Why should every school system attempt to design its own in-service training program if there is agreement upon emerging teacher roles and needed competencies? Why should every system devote years of effort and talent in developing its own materials of instruction for its own in-service training programs? State educational agencies can perform a valuable service by helping local school systems to develop and implement in-service programs that assist teachers to perform new roles and cope with the new technologies with competence and artistry.

As teacher roles change, new teacher competencies will be needed. Personnel of state education agencies should be prepared to coordinate and facilitate training that will produce the needed competencies in teachers. This can be done by working closely with and obtaining the cooperation of teacher training institutions, by contracting for resource persons outside of the agency who can respond appropriately to the varying in-service training needs of local schools and school systems, and by maintaining a high degree of awareness of the needs of local schools and school systems.

In Summary

In this chapter a number of options available to local education agencies as they seek to improve educational opportunities for all children and youth through improving the learning environments, curriculum and procedures have been discussed. At the same time, alternative strategies that state education agencies might employ as they provide encouragement and assistance to local school systems in solving critical educational problems have been suggested.

The ultimate objective of all efforts to improve education should be (1) to attempt to provide an environment that is conducive to learning; (2) to design and provide learner activities that enable the learner to cope effectively with his physical and social environment; and (3) to encourage teacher activities and procedures designed to ensure that successful learner activities will occur. The focus of learning activities, obviously, should be upon the student. Everyone concerned with education—parents, teachers, administrators, taxpayers and students—will need to direct their efforts accordingly. In many instances, however, the recognition and acceptance of the concept that "schools are for kids" will result in changes in the basic educational organization and philosophy at the local school level. The needed transition from *where education is* to *where it should be* will require systematic planning, many intermediate steps and probably some compromise arrangements. In order for these to be made, however, local schools and school systems will require much assistance.

State education agencies will need to help to identify and implement strategies that will make possible the kind of assistance that is needed. A partnership arrangement between the local school systems and the state education agency should be created—a partnership that should enable all concerned to achieve the only real purpose of education: effective learning on the part of each student.

Footnote References

[1]John S. Gibson, "On Quality in Education" (Unpublished paper prepared for the Committee on Public Education, Colorado General Assembly, April 1970), p. 1.

[2]R. L. Johns, "The Economics and Financing of Education," in *Emerging Designs for Education*, Edgar L. Morphet and David L. Jesser, eds. (Denver, Colorado: Designing Education for the Future, 1968), p. 192. Republished by Citation Press, Scholastic Magazines, Inc., New York, N.Y.

[3]Clifford F. S. Bebell, "The Educational Program," in *Emerging Designs for Education, op. cit.*, pp. 22ff.

[4]The authors are indebted to Dr. Leon Lessinger, Calloway Professor of Education, Georgia State University, for important insights into the "zero-reject" concept.

[5]Carl R. Rogers, in *Emerging Designs for Education, op. cit.*, p. xi.

[6]Melvin M. Tumin, "Ability, Motivation and Evaluation: Urgent Dimensions in the Preparation of Educators," in *Preparing Educators to Meet Emerging Needs*, Edgar L. Morphet and David L. Jesser, eds. (Denver, Colorado: Designing Education for the Future, 1969), p. 10. Republished by Citation Press, Scholastic Magazines, Inc., New York, N.Y.

[7]*Ibid.*, p. 11.

Chapter 6

Improving the Organization, Operation and Support of Education*

As indicated in previous chapters, *a central focus and concern of every state and local education agency, of every school and educational institution, and of every citizen should always be the provision of optimum learning environments, opportunities and procedures for all who need to be educated at every stage of their development.* All provisions for the organization, operation and support of education should contribute effectively to the achievement of that objective and be judged by the extent to which they do so.

During the early days in this country the provisions for the organization, operation and support of schools were necessarily relatively simple. Most communities were small, transportation and communication were slow and difficult, and the resources available were often minimal. Representatives from each community provided a building or a room and selected a person who could teach the few skills considered necessary. The parents usually provided the limited support needed to keep the school in operation for a few months each year.

But society and education have become vastly more complex during recent years. In a nation whose population may approach 300,000,000 within 30 years and in which the increasingly technological society requires not only more education but also a different kind and quality of education for everyone, the unresolved problems tend to increase in magnitude and complexity and, if neglected, could even result in chaos. The best hope for avoiding such a disaster would seem to be through more systematic, comprehensive and intelligent planning than has occurred in the past. Fortunately some important efforts are now under way nationally and in many states and communities. In this process many long-cherished traditions relating to ways of organizing, operating and supporting education and other agencies and institutions will undoubtedly need to be reconsidered.

There seems to be a tendency for many organizations, agencies and institutions in modern society to become so concerned with bureaucracy, red tape and the mechanics of doing things that they tend to forget or overlook what should be considered their primary concern: *helping to im-*

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prove people and the conditions under which they live. **It is especially important that those involved in every aspect of education—in preparing people to serve in public or private organizations and enterprises, and as contributing members of a complex and ever-changing society—make every reasonable effort to ensure that this primary concern is observed. Moreover, this concern should serve as one important perspective to be utilized in evaluating existing provisions for organizing, operating and providing support for education and in planning improvements.**

The Organization and Administration of Education

Alternative ways of establishing and organizing state agencies for education and many of the emerging roles and responsibilities of these agencies have been discussed in previous chapters. Major attention in this section is devoted to ways of organizing and administering education *within a state* and to some of the federal-state-local interrelationships.

Provisions for Organization within a State

Many people now contend that the traditional provisions for the organization of local school districts (to each of which much of the responsibility for providing and financing schools in its area has been delegated in most states) are not serving satisfactorily the needs of many children or meeting the challenges of a rapidly changing society. There is considerable evidence that seems to support this contention. However, the question should be raised: Is the *basic concept itself* indefensible under modern conditions, or have the difficulties arisen primarily because of the ways in which it has been implemented as a result of legislative action and/or the acceptance of state and local policies and practices that are no longer appropriate?

A few authorities have proposed that the time has come for each state to assume the responsibility for organizing and operating all schools and programs. Some of the advantages and disadvantages of this alternative are given in Chapter 4. The alternative of state operation may be appropriate for serious consideration in some of the smallest states but for the larger states, at least, most people apparently believe the disadvantages would outweigh considerably the advantages.

At first thought, state operation of all schools and programs might appear to be a simple matter, but, in reality, it would involve many complications. It would hardly be feasible to undertake to operate from the state capitol several hundred—or in some cases, several thousand—schools in many different kinds of communities. As in Hawaii, the state would very likely find it necessary to establish a number of subdivisions, each of which would have an administrator and a staff responsible to the state for the schools and programs in its area. Each school would also need a principal and a staff. Boards of education could theoretically be eliminated but, if this were done, the resistance to changes in programs mandated by the state or effected by educators in a remote agency might tend to

increase. Some long-standing problems could undoubtedly be eliminated but new kinds of problems would arise to take their place.

The greatest gains would probably be in simplifying the processes of changing boundaries as populations shift or other conditions change, of eliminating small and ineffective schools and districts, of assigning personnel, and perhaps in providing for more efficient utilization of resources.

But, if the people of a state actually want to solve many of their current educational problems and set the stage for further improvements, it would be possible for them to do so without assigning to some state agency the entire responsibility for the administration and operation of the schools. By persuading the legislature to take appropriate action to meet recognized needs—or by supporting constitutional amendments if necessary—they can: eliminate all districts that are too small to operate efficiently; make it easy to modify district boundaries or reorganize districts as conditions change; establish a plan of support that will ensure more effective utilization of resources and provide equity for taxpayers as well as adequate and equitable opportunities for students; and take such other steps and actions as are necessary to meet emerging as well as existing needs. Because any changes should be based on carefully developed plans, the citizens and the legislature will also need to insist that the state education agency provide the leadership and services that are essential to ensure the development of appropriate plans and to facilitate their implementation.

Improved state provisions for education along the lines suggested in the paragraph above can also help to set the stage for meaningful local responsibility for education. Whether this responsibility is assumed will depend primarily on the attitudes and insights of the citizens in each local school system. If they are primarily interested in continuing the established traditions relating to education regardless of emerging problems and needs, they will probably select a board composed of members who will insist on maintaining these traditions. If such conditions and attitudes exist in many school districts, the stage may be set for those who favor state operation and administration of schools to gain support for, and perhaps approval of, their proposals.

In the days when a large proportion of the school districts were small (many included only a one or two-teacher school), most states in the middle and western portions of the nation established the county as an "intermediate" unit to provide limited services to the component districts and the state. As districts were reorganized or increased in size, some states continued the county as a service unit for small rural schools; others abandoned the intermediate unit concept; still others devised new and larger kinds of intermediate units to provide a variety of special services deemed to be essential to meet changing needs.

Recent and prospective developments and some challenging new proposals point to the need for further careful study of the intermediate unit concept in a substantial proportion of the states. Perhaps these units should

be reconstituted to serve as large-area information storage and retrieval centers and meet other needs through a state-wide (or in some cases an inter-state) communications network. Or, if large-area units are established in some states to serve as the primary local base for financial support and to provide coordination of planning and special services for units or districts within the area that are primarily responsible for the educational program (see Chapter 4), there may be no need for intermediate units in the more traditional sense. Such issues as these can be resolved satisfactorily in any state only on the basis of systematic studies of all pertinent facts and factors and the development of long-range plans for implementing what seems to be the most defensible alternative. The state education agency should provide the leadership for these studies and services and should involve competent representatives from other appropriate groups in the process.

Provisions for Local Organization and Administration

The basic provisions for the organization and administration of education need not differ in any significant respect for most school systems in a state. However, the way in which these provisions are interpreted and implemented may be significantly affected by the attitudes of the people, of those involved in the "power structure" or in the educational enterprise, and by many other factors. These attitudes and points of view, if analyzed and understood, would help to explain the difference between a school system that tends to resist change regardless of the need and another that plans for and implements changes as soon as the need becomes apparent, as well as between a system that provides and seems to be satisfied with a mediocre program and another that is constantly seeking to ensure excellence in education.

The superintendent, or chief executive officer, of each district is selected by the board of education (or school board) for the system. If most members of a board are conservative, they usually will attempt to select as superintendent a person whom they think will not seek to effect many changes. The attitude of the board is important, but of at least equal importance is the attitude and qualifications of the superintendent. He may encourage the board to become even more conservative—or to understand the need for pertinent changes. He may insist that the staff accept his proposals and decisions—or may seek to involve members meaningfully in all major policy decisions that would affect them or the educational program. Thus, both the board and the administrator are important forces in most school systems, but under modern conditions, other forces and factors may be equally important in many situations.

Appropriate state plans, provisions and procedures are essential to facilitate the development and implementation of adequate and equitable educational opportunities throughout the state, but no state laws or policies can ensure that these will be provided effectively in every local school system. The quality and appropriateness of the opportunities, programs and

procedures in each school system and school will be greatly influenced by the beliefs, attitudes, decisions and actions of the people who live in the area, of the school board members, of the administrator and the supporting staff, and of the teachers, students and others involved in the process of facilitating learning.

Within the constraints established by state law and regulations, and in some cases by the voters in the area, each local board of education decides upon the policies, programs and basic procedures for the district. These decisions may facilitate or limit appropriate learning opportunities. Some of them may be defensible; others may be unsound from a long-range point of view. The quality and appropriateness of these decisions will be determined or significantly affected by many factors including: failure to identify feasible alternatives or to consider fully the implications of each; inadequate information or improper interpretation of the information available; unrealistic limitations imposed by the legislature or by the voters; and the biases or limited competencies of the board members or of the staff. An important role of the state education agency is to encourage meaningful diversity by helping local school systems to identify and evaluate feasible alternatives and select and implement those that will best meet the needs. A major objective in every state should be to encourage and help to develop bona fide local responsibility and to avoid meaningless and stultifying uniformity.

Selection of Board Members. A majority of the people in most states believe strongly that the policies needed to supplement those pertaining to all aspects of education in a state should be determined by a representative local board of education with the advice and counsel of the professional staff. Yet in some states and many local school systems relatively little attention has been given to the matter of reaching agreement on the characteristics of people who should be selected to serve on the board, or to appropriate procedures for helping them prepare to assume their important responsibilities. Some board members seem to have concluded that their major role is to ensure that expenditures are "kept in line," to represent the group that was primarily responsible for their selection, or to see that the professional staff does not have an opportunity to participate in major policy decisions. Fortunately some state education agencies (Idaho, for example) have cooperated with the school board members' association and other groups in their states in identifying characteristics of people who should be qualified to serve on boards of education, and in planning and conducting pre-service and in-service training programs for board members. All state agencies should assume similar responsibilities.

Students and Education. Presumably almost everyone attending school will have many opportunities during his lifetime to help to select school board members, to vote in school tax and bond elections, and to make or influence decisions about many kinds of policies relating to education. Yet relatively few students have had much opportunity to obtain through their school programs more than a superficial understanding of the American

system of education, or for that matter, about their obligations and responsibilities as citizens. As Toy has pointed out:

> Education for citizenship in the schools has not kept pace in recent decades either with changes in the American society or with research about the political process and political behavior . . . . We need to take a new and creative look at school programs for producing good citizens . . . .[1]

It seems strange that the schools and other educational institutions (that must depend on succeeding generations for support and self-renewal) provide such limited opportunities for their students to understand the purposes and the provisions for organization, operation and support of education even in their own community. State education agencies obviously need to assume more active leadership in obtaining the cooperation of appropriate groups and individuals in developing pertinent materials and procedures in this area as well as in other aspects of political and civic education.

Community Involvement. During the past few years there has been considerable discussion about community involvement in, or control of, education. Much of this discussion apparently refers to the "community" served by a single elementary or secondary school, but sometimes there are overtones that seem to relate to the entire local school system. This concept is not a new one; community participation in educational decisions was an accepted mode of procedure in most parts of the country during pioneer days. As districts were reorganized, population increased and the society became more complex, it tended to disappear except when special study committees were organized in some school systems or controversial issues attracted substantial numbers of people who wanted to present their points of view at meetings of the board.

Under modern conditions, community *control* of education in a school or even in a school system may not be feasible; however, *community involvement* may be essential, or at least beneficial. But such involvement should be carefully *planned* and not left to chance developments, or grudgingly recognized on the basis of demands by pressure groups. Suppose, for example, the board would encourage the patrons of each school to select a small group or committee to work with the principal and his staff in identifying problems and planning improvements in the program and procedures of the school. Such a committee could help to communicate community concerns to the staff and perhaps to the board, and in turn, could assist the patrons to understand the need for changes proposed by the staff. However, in providing for or encouraging such involvement, the board and staff need to recognize that the quality of public participation depends largely on the access the participants have to pertinent facts and ideas.[2]

The development of appropriate procedures for increasing *community responsibility* for education in a school and in a school system should receive adequate attention throughout the nation. Each state education agency should provide the leadership and services needed to assist local

school systems to develop guidelines and procedures for appropriate decentralization,[3] for the organization of special study committees to prepare proposals for consideration by the board, and for advisory committees to work with the principal and staff of each school.

Provisions for Facilitating Services and Facilities

The possibilities for facilitating meaningful learning for all kinds of students at all levels have increased greatly during recent years. The procedures have also improved considerably in many school systems, but in others little progress has been made because the professional personnel have not learned how to utilize some of the newer materials, insights and processes, the school facilities have become obsolete, or the financial support has been inadequate.

Relatively few lay citizens in many school systems have much more than a vague idea about what is required to plan and operate effectively a modern program of education. On the basis of their own experience they can readily envision a teacher for each classroom or subject, a principal, perhaps a few counselors, a superintendent and his staff, and a board of education. Such terms as "mediated instruction," "computer assisted instruction," "technologically-based instructional material," "software," "hardware," and so on, still convey little meaning for many people. Perhaps equally confusing are some of the newer terms utilized to designate various kinds of personnel concerned with instruction and learning, including "content research specialists," "media specialists," "educational systems specialists," and "educational engineers." Schools may continue to have some "classrooms" with flexible seating arrangements for discussion groups but also need "learning centers," "electronic learning laboratories," "multimedia centers," "study carrels" and so on.[4]

The role of the teacher is changing from that of a person whose major function is to present information to that of one who, with appropriate assistance, diagnoses problems and needs, designs pertinent learning programs and procedures for individual students, and helps them to appraise their own progress. The modern teacher serves as an important member of a team that includes a wide variety of specialists, each of whom is concerned with some service that contributes to the improvement of the learning environment, opportunities and procedures. Any school system that expects a teacher to operate as a "prima donna" in a self-contained classroom, or as a subject matter specialist concerned only with students who progress satisfactorily in the discipline in which he has majored, is ignoring the needs and realities of modern society.

In addition to members of the team who are directly concerned with problems and progress in learning for all students regardless of their handicaps and disabilities, there must be other cooperating groups and teams concerned with health, with foods and nutrition, with provisions for

transportation of students, with home and community factors and conditions that relate to the welfare and progress of the students, with the evaluation of progress in learning, and with facilities, equipment, records and reports, communications and financial support. Weaknesses in any of these areas sooner or later handicap the progress of students that should always be the central concern of the school system and of everyone who serves in the system. In order to develop optimum learning conditions and to be in a position to plan and implement needed improvements without delay, every school system will need to provide a continuous and relevant in-service training and upgrading program for all instructional and facilitating (supporting) personnel.

Under modern conditions, no school system can expect to function as a self-contained or self-sufficient unit. Even the largest systems can benefit from the cooperation of the state education agency in planning and arranging for a state or other large-area communications network to provide ready access to printed and visual materials that cannot economically be developed locally, in providing for compatibility in programs and other arrangements that necessitate utilization of expensive computers and other similar equipment, and in many other ways in a society in which interdependence is becoming increasingly important.

In fact every district is likely to find that it needs assistance from the state education agency and other groups in planning, implementing and evaluating needed changes as it becomes more apparent that: purposes and goals need to be restated in more meaningful terms; alternative strategies for attaining the goals must be clearly identified and carefully analyzed; supporting and facilitating personnel as well as teachers need to be retrained and upgraded; old buildings are increasingly handicapping the program and need to be significantly altered or replaced; new kinds of expensive equipment have become necessary, and many other new demands are arising. State agencies throughout the nation need to prepare to meet these demands for services in a meaningful way—not by telling districts what to do, but by assisting them to develop appropriate solutions to their many interrelated problems.

Provisions for Financial Support

The role of the states and of the federal government in providing financial support for education has received increasing attention during recent years. Most people now recognize that deficiencies in education not only handicap many individuals throughout the country but also result in serious problems for the states and the nation as well for the communities in which these handicapped people live. Moreover, it has become apparent that the long-established tradition of relying on local property taxes as

the primary source of funds for support of schools is no longer tenable or defensible.

Sources of Revenue for Support of Schools

At the time this nation was established, property constituted the major source of the income of the people in every state. At present, on a national basis and in several states, less than ten percent of the income of the people is derived from property. In no state is it any longer the major source of income. Yet property taxes are still utilized to provide slightly more than one-half of all funds for support of the public elementary and secondary schools in the nation, and nearly three-fourths in a few states. This means that we are attempting to finance a significant part of the self-renewal service essential for the development of people and the progress of the nation from a small portion of the income stream.[5]

Practically all *local* revenues for support of schools are derived from property taxes in most states. However, in all but a few states, local assessment policies are far from uniform and the marked variations result in serious inequities for taxpayers. Even if property were uniformly assessed throughout each state, the variations in local ability to support schools would range from about 5 to 1 in the large-district states to 50 or more to 1 in states having many small districts. Some states, notably Pennsylvania, have attempted to broaden the local tax base by authorizing other local sources of revenue to relieve the property tax burden, but have found that this procedure does not resolve the basic problem primarily because: (1) most other taxes (for example, income and sales taxes) can be administered more effectively and equitably by the state than by local units; and (2) in many instances the resulting range in local ability has been increased.

Several states have adopted policies and procedures that have eliminated the major inequities in the assessment of property and the administration of property taxes. Undoubtedly all states should do so. In fact some of the current inequities resulting from variations in local ability could be eliminated if a major portion of the property taxes were collected by the state as some authorities have proposed. But even these changes would not, in themselves, solve the fundamental problem, that is: *relating the sources of revenues for support of schools more closely to the sources of income of the people.* It seems clear that, in most states, a much larger percent of the funds for support of schools should be derived from sources other than taxes on property. In other words, the percent of funds provided by the states and the federal government from non-property tax sources urgently needs to be increased and the proportion from local property taxes to be decreased. Shannon has observed:

> Legitimate questions can be raised as to the appropriateness [of the property] tax for financing a function whose benefits are diffused as widely through the community, state and nation as those of public education. The property tax—a highly localized source of revenue—is better suited to financing local general government (i.e. police, fire, local parks), many of whose functions benefit local property quite directly.[6]

STATE PROVISIONS FOR SUPPORT OF SCHOOLS: MAJOR ALTERNATIVES

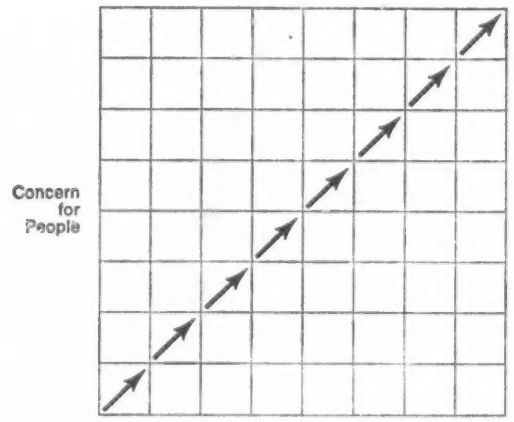
Many of the state provisions for support of schools represent the reactions to pressures designed to obtain additional funds that hopefully would help to avoid prospective crises in education, attempts to modify some long-standing policies incorporated in laws that have become outmoded, provisions designed to meet newly recognized needs (such as kindergartens or summer schools), and other similar developments. There are some provisions in most states that have many commendable features and others (often in the same state) that seem to serve only to provide a limited amount of money for schools or for certain services.

The major purpose of the provisions for support of schools in every state should be to ensure insofar as possible adequate and relevant learning opportunities for everyone who should be educated, equity for all taxpayers, and optimum returns from all expenditures for education. Yet some states guarantee *by law* inefficient use of funds (especially in small school districts that should not exist), inequality in opportunities for many students (for example, by failing to provide for kindergartens, summer schools or other needs in the less wealthy districts), inequities for taxpayers (by requiring uniform tax levies on property that is assessed at a lower ratio in some districts than in others), or by providing as much, or nearly as much, state money per student for the most wealthy districts as for the least wealthy. In some states the laws guarantee that, on the basis of the same local tax effort, the most wealthy district will have available from state and local funds up to three times as much per student as the least wealthy district.

On the basis of insights and information now available it is possible for every state to develop an equitable and defensible system of education and provisions for the support of education throughout the state. But the development of such a system will require more careful and systematic planning than has been done in most states thus far. This planning needs to begin with the needs and objectives of education in a rapidly changing society—rather than with a study restricted to provisions for financial support—and then move to a thorough study of financial provisions and needs. The leadership for these studies should be provided by the state education agency and supported by the legislature and governor, but representative and knowledgeable people from the state should be encouraged to participate in developing plans and in arriving at conclusions and recommendations.

Although all pertinent evidence should be carefully considered in the process of reaching conclusions and developing recommendations, judgments based on the beliefs and values held by the people cannot be excluded. Some people, for example, may value efficiency and economy more highly than considerations relating to the welfare, progress and satisfaction of students and staff, while others may have almost an opposite point of view, as indicated in Figure 1. A reasonable balance in these perspectives would seem to be most appropriate.

Figure 1. ***Relationship Between Concern for People and Concern for Efficiency***



Some decisions relating to possible alternative state provisions for support of schools that may be influenced by these perspectives are discussed briefly under the headings that follow.

General and Categorical Support. Most states provide some general-purpose support, other funds that can be used only for designated purposes (special-purpose or categorical support), and require that each school district make some minimum effort to support the schools or programs. These arrangements are based on the assumption that the combination of funds provided by the state and the amount available from the *required* local effort, plus the amount provided by *voluntary* local effort will meet the needs in each district. There is also an implied assumption that categorical funds that have to be used for the purposes designated provide the best way to stimulate and help the districts to meet the needs recognized through these special funds.

The concept of some combination of general- and special-purpose funds has many strong supporters. Such funds undoubtedly have helped to bring about some improvements in a number of states. Categorical funds provide one basis for developing program budgets and for requiring accountability at least for the use of these funds.

There are, however, some disadvantages to this approach, including:

- It tends to stimulate the development of special interest pressure groups that are primarily concerned with only one aspect of the entire program, and thus to result in distortions.
- Usually the state funds are used to reimburse districts on a percentage basis for authorized expenditures, and as a result, the priorities in the least wealthy districts may be affected and some of the needs neglected.
- The attempt to meet the requirements for federal and state categorical

grants may result in serious complications and handicapping frustrations for many districts.

Complete State Support. As noted earlier, Hawaii is the only state that currently undertakes to provide from state sources all of the funds for support of the schools except those received from the federal government. In the near future, however, this plan seems likely to be adopted, or at least closely approached, in a few other states. As pointed out in Chapter 4, it potentially has a number of advantages over the inequitable patchwork pseudo-systems found in many states. If most of the funds are derived from non-property tax sources it could ensure greater equity for taxpayers. It could also make possible greater equality of opportunity for students throughout the state, and, if adequate funds are provided, could result in improved educational opportunities for many.

On the other hand, in many states the funds provided may be sufficient to finance only a *minimum* program and, because of the political factors involved, it might not be feasible to persuade the legislature to make available sufficient funds to support a program that would meet emerging as well as the traditionally recognized needs of all kinds and levels of students throughout the state. This possibility might present an especially serious danger in states in which there are large numbers of disadvantaged children, or in which substantial numbers of parents send their children to non-public schools.

Assuming that each state will be in a position to develop defensible plans for utilizing the funds equitably, at least three other matters will require careful consideration if serious difficulties are to be avoided:

1. If property taxes are to be levied and collected by the state (as proposed in Michigan) to help finance the program, provision will need to be made to ensure that assessment policies and practices are uniform or that appropriate adjustments are made throughout the state, and also that most of the funds are derived from non-property tax sources.

2. An important issue relates to the question as to whether any local tax effort is to be permitted to enable the districts that desire to do so to obtain funds to supplement those provided for schools by the state and the federal government. If no such effort is permitted, the state will probably be challenged to provide in some way for promising experimental programs, or to find some appropriate way to avoid what could become routine provisions that fail to recognize emerging needs.

3. Most of the proposals for complete state support have focused on provisions for financing the current expense aspects of the program and seem to have ignored the problems of financing capital outlay and debt service. If these aspects are ignored in the state provisions, some of the funds will not be used effectively and the students will be handicapped, at least in many of the least wealthy districts. In other words, the state plan must include in some appropriate way equitable provisions for these important areas.

Foundation Program Plan. Most states have developed some kind of what is commonly called an equalization or foundation program plan. Although many of these programs have serious inadequacies, they are the result of efforts to develop an integrated plan of financial support for all major aspects of education. They are based on the assumption that all aspects of education are interrelated and that there should be an equitable partnership arrangement between the state and its component school districts for providing the necessary financial support.

In a number of states the present provisions are appropriately designated by law as the *minimum foundation program.* They provide only a limited amount of support for major aspects of the educational program and often do not recognize or provide for kindergartens, adult education, summer programs, supporting or facilitating services, or many other needs or services. Commonly, vocational education, various aspects of special education and transportation are financed through separate categorical aid funds and in many states the financing of capital outlay and debt service is considered a local responsibility.

Most authorities agree that the foundation program concept is one of the most defensible that has been developed thus far if it is assumed that local school systems or other large-area units should be expected to have some responsibility for helping to finance the programs provided within their respective areas.[7] The major criticisms have resulted from imperfections and omissions in the design. The major weaknesses in many states may be summarized as follows:

1. The measures of educational need that are essential for the development of a defensible plan for support are often unrealistic. In addition to omitting early childhood education, kindergartens and some of the other services noted above, they usually have ignored the special needs of the disadvantaged, thus discriminating against many urban areas, and do not provide for many kinds of supporting personnel that are essential in modern provisions for education.

2. The amounts included for personnel and for expenses other than for personnel are usually considerably below the actual costs and, as a result, most districts have to make extra effort to provide the difference.

3. The required local "uniform" effort for participating districts is far from uniform in many states because of variations in local assessment practices and, consequently, some districts may have to provide a larger proportion of the cost of the program than their fair share.

4. In some states a large proportion of the funds is distributed to all districts on the basis of flat grants (a uniform amount per pupil) and as a result the most wealthy districts can provide a much better program with low effort than is possible in the less wealthy even when they make a greater effort (levy higher taxes) than required by the state.

The states that have developed the most defensible foundation program plans have made special efforts to avoid these difficulties and inequities.

They have eliminated or kept to a minimum the amount provided as flat grants, have attempted to devise realistic measures of educational need for an adequate program, have provided for reasonably uniform local required effort, have sought to include all costs on a realistic basis, and have attempted to include provisions not only for growth but also for flexibility as conditions change. Moreover, they have included as components of the foundation program—rather than providing separate categorical grants—most special services (such as vocational education, exceptional children, summer programs and so on). Thus, they have broadened the base for legislative and popular support of the program and at the same time have developed a sound basis and incentive for program budgeting, and are encouraging and assisting local school systems to become seriously involved in bo[illegible] fide comprehensive planning and in developing and utilizing appropriate provisions relating to accountability.

Provisions for Capital Outlay and Debt Service. Until about a quarter of a century ago practically all states assumed that the matter of providing for capital outlay and debt service was a local responsibility and that even this responsibility should be severely limited. For example, several states provided that bonds could be issued only when the proposal was approved by two-thirds of the voters in a special election and two states (Indiana and Kentucky) have continued to limit the bonds that may be issued to two percent of the *assessed* valuation of the district. Recently the courts have begun to rule that any requirement for a favorable vote by more than a simple majority is unconstitutional and several states have decided that any limitation must be based on full valuation rather than on the assessed valuation of property in the district. Even needed changes such as these will not resolve the basic problem in any state.

Inadequate facilities in any district handicap teachers and students and result in inefficient use of funds for the instructional program. But many of the least wealthy and rapidly growing districts in every state cannot provide adequate facilities without utilizing funds needed for the educational programs. A number of states have recognized this fact and have provided funds for capital outlay and debt service, either as a part of the foundation program or as a separate categorical grant. In some cases, the funds provided by the state have been so limited and the restrictions so severe that many of the less wealthy districts are constantly in difficulty. In a few states (for example, Florida, Kentucky and New York) funds have been made available and provisions developed to encourage districts to plan on a long-range basis for needed improvements in facilities and to enable them to meet their capital outlay and debt service responsibilities without excessive bond issues or the necessity for using funds that are essential for their ongoing educational program. The facts indicate clearly that all states will need to make similar or equally defensible continuing provisions for helping school districts to meet their capital outlay and debt service needs.

Incentive Plans. In the least wealthy districts in any state the funds provided as a result of any tax levies made beyond those required for

the foundation program are so limited that they have little to gain by making these extra levies. Many other districts seem to be complacent and make little or no effort to go beyond the required effort.

In an attempt to encourage districts to improve their programs, a few states (especially Rhode Island, Utah and Wisconsin) have developed what is commonly called an *incentive plan*. For each mill levied beyond the minimum required for the foundation program the state provides some additional funds for the district on a matching basis, or that are almost inversely proportionate to the amount yielded by the local levy. The latter obviously provides greater incentive and is more realistic than the former. This plan has resulted in some significant improvements in a number of school systems. In states where the taxes on property are already relatively high, however, it tends to encourage further increases in these taxes.

Recently the Florida legislature established an incentive plan that, except for handicapping limitations imposed on tax levies for schools in a few counties (later declared unconstitutional), seems to constitute an important breakthrough. The plan provides for a rather substantial amount of *state* funds ($1,720 per instruction unit) to be added to the foundation program and made available annually to each school district (in Florida each county is a school district) for the improvement of instruction and learning, provided the district: (1) develops, in accordance with criteria established by the state education agency, a five-year plan for the improvement of instruction and learning and for the evaluation of progress; and (2) with the help of consultants, analyzes annually its problems and needs, evaluates progress, and proposes needed revisions in the plan.

The chief advantages of the Florida plan seem to be: (1) it focuses attention on the improvement of instruction and learning that should be the major concern in all provisions for education; (2) it emphasizes the importance of systematic relatively long-range cooperative planning for needed improvements, including staff development, and the importance of appraisal and accountability including annual reconsideration of the plans; (3) it provides resources for the implementation of the plans and for the evaluation of progress; (4) it involves the staff of the district and representatives from the state education agency in the processes of planning, implementation and evaluation and, in many cases, has resulted in significant changes in their perspectives and roles; (5) it does not require or necessarily encourage increases in taxes on property since the funds are provided by the state from non-property tax sources; and (6) it is an integral component of the plan for financing schools (the foundation program) and, because the funds can be used for any legitimate purpose relating to the improvement of instruction and learning, is not a separate categorical grant.

The major problems encountered in implementing this plan apparently have resulted from: (1) the tax reductions imposed on some counties dur-

ing the first two years that made it necessary for them to use a substantial part of the "incentive" funds to avoid reductions in services; (2) the limited time available to the counties before the beginning of the new school year to develop their original plans; and (3) personnel in most counties, and few in the state education agency, had little if any previous preparation for, or experience with, the kind of planning required by the new program and, consequently, many of the original proposals provided only for expedient adjustments and did not constitute a defensible plan for any significant improvements in instruction and learning.

Other Considerations. The purpose of state provisions for the support of education should be to ensure that state, local and federal funds are utilized within the state in a manner that will result in optimum opportunities and progress for all who should be educated and in maximum returns from the expenditures that are made. This purpose can be attained only when:

- The financial provisions are adequate to meet the changing needs;
- School districts throughout the state are so organized that they can function effectively;
- The personnel are competent and properly prepared to conduct a modern program of education;
- Appropriate goals have been agreed upon; and
- Long-range plans developed with state leadership are designed to facilitate the operation of education as an integrated, goal-oriented system.

Expedient decisions and actions by the legislature, by state or local boards of education, or by educators at any level can only serve to disrupt the process and decrease the potential effectiveness or contributions of education.

Studies by a number of economists have shown that, even under conditions that have existed during prior years, expenditures for education should be considered an *investment in the development of people* and in the progress of the nation. The benefits to individuals who complete their work even in secondary schools have been well documented. Other studies have shown that the investment in education during prior years probably has accounted for at least one-third of the increase in the gross national product and that there have been substantial social benefits.

The indirect costs of failing to provide adequate educational opportunities and challenges should be evident to everyone who is familiar with the problems in rural as well as in urban slums. The cost to society of maintaining substantial numbers on welfare or in penal institutions, or the cost of repairing the damage resulting from violence often generated by intolerable conditions associated with poverty and ignorance has probably exceeded the amount that would have been needed to provide adequate educational opportunities for these people.

The provisions made by a state for financial support of education are closely related to the adequacy of educational opportunities and programs. The people in each state, therefore, should attempt to develop the best and most defensible system that can be devised. They need to study carefully the major alternatives discussed earlier in this chapter but should not overlook other proposals, some of which are considered briefly in Chapters 2 and 4. For example: the organization of large-area units for basic local financial support would result in eliminating many inequities and could simplify the problem of developing a defensible plan for financial support of schools in many states; the relatively new experiments with performance contracting for certain services, if utilized cautiously, may be beneficial in certain situations; some states have begun to make limited funds available for non-public schools and others are considering the possibility of a voucher plan; and a "family power" equalizing plan that would enable parents to determine the rate of taxes they would pay for education and the quality of programs that would be provided for their children has been proposed for consideration.[8] In studying all such proposals, the implications in terms of the effects on the public schools, on economic or racial segregation of students, on equality and adequacy of opportunity, on cost-effectiveness, and many other related factors should be considered.

Provisions for Federal Support

As pointed out in Chapter 3, the provisions for federal support of certain aspects and provisions for education have been increased rather substantially during the past decade. These increases have been of considerable benefit to the states and many local school systems, but also have resulted in some serious problems primarily because all appropriations are categorical in nature and some are so limited that they are almost meaningless. Some of the provisions and requirements have also complicated the problems of the states in developing integrated finance plans that are designed to ensure equity for taxpayers and equality of opportunities for students.

In 1960 the President's Commission on National Goals[9] identified goals in 15 areas that are of major importance in this country. The improvement of education was included among these major goals. This Commission and many others have noted that *large numbers of Americans have shared neither the material well-being nor the political and social rights that generally characterize the American Society.* Most people would agree that the provision of better education for all who can benefit is essential not only for the alleviation of these conditions but also to help to ensure continued progress under modern conditions. But *the identification of goals is only one important step in the process of attempting to effect improvements. Priorities must be established and realistic plans developed and implemented if significant progress is to be made.* Whether education is to be included among the major national priorities will be determined by the important policy decisions that must be made during the coming

3

years at the national level and by the states and communities throughout the nation.

Most authorities seem to be in agreement that, in view of the nature of the economy, the tax structure and other pertinent factors, the federal government will need to increase substantially its percentage of the support provided for education. Many hold that the federal government should provide at least 25 and perhaps 30 percent of the funds needed for the support of elementary and secondary schools, that the states should provide about 50 percent from non-property tax sources, and that local school systems should be expected to provide not more than 20 or 25 percent of the total.

But the manner in which the federal funds are provided and the conditions attached are also important. Instead of a multitude of narrow categorical grants—to each of which a number of conditions are attached that make it almost impossible for the states to develop integrated and equitable plans for the support and improvement of education—it seems apparent that a substantial portion of the federal funds should be made available to the states on an equalizing basis as general aid or support, and that the remainder should be provided in the form of a few broad categorical grants perhaps designed to facilitate the attainment of some specific goals considered of national importance.

The provision of federal funds along the lines indicated above would greatly facilitate the improvement of federal-state-local relations and help to set the stage for meaningful and effective collaboration between federal and state leaders in planning and effecting improvements in education.

In Summary

The developments and issues discussed in this chapter have many implications for the emerging roles, functions and relations of state education agencies. It seems especially important that these agencies be prepared to provide the leadership and services needed to:

- Improve the provisions and arrangements for the organization and administration of education in the state as a means of providing for and encouraging more bona fide local responsibility.
- Help people throughout the state to develop a better understanding of the appropriate role and functions of boards of education and to reach agreement on characteristics of persons who should be selected to serve in that capacity, and assist with the development of programs for the preparation of board members to assume their responsibilities in a meaningful manner.
- Help all students to become better informed about the provisions for and the contributions of education.
- Provide opportunities for and encourage people throughout the state to become more significantly involved in studies and decisions

relating to goals, priorities and policies for education, and find ways of stimulating bona fide community involvement of people in individual school attendance areas and school systems in major decisions relating to education.

- Assist local school systems in planning and providing for adequate and relevant facilitating services and facilities.
- Plan and develop an integrated and defensible system of financial support for schools.
- Cooperate with federal and other state agencies in developing a more realistic and appropriate system of federal support for education.
- Identify and provide pertinent information regarding alternatives and their implications for education rather than advocating a single "best" solution to a problem or situation in which there are defensible alternatives that should be considered.

Footnote References

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[3]For a discussion of various kinds of decentralization and some of the advantages and disadvantages of each, see *Urban School Crisis: Final Report of the Task Force on Urban Education of the Department of Health, Education, and Welfare* (Washington, D. C.: National School Public Relations Association, 1970), p. 52. Also for an interesting perspective on some of the political problems involved in urban education, see Thomas C. Thomas, *On Improving Urban School Facilities and Education* (Menlo Park, California: Educational Policy Research Center, Stanford Research Institute, 1969), pp. 5-21.

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[5]Theodore W. Schultz in *Light a Fire*, ed. Maurice Rosenblatt (Washington, D. C.: National Committee for Support of the Public Schools, 1963), p. 19.

[6]John Shannon, "Total State Funding for Education" (Unpublished paper prepared for the National Committee for Support of the Public Schools Conference, Washington, D. C., March 24, 1970), p. 4.

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[8]William Clune, Stephen Sugarman and John E. Coons, *Private Wealth and Public Education* (Cambridge, Mass.: Harvard University Press, 1970).

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Chapter 7

Research, Development, Demonstration and Dissemination*

It is possible—as many states have demonstrated—for a state education agency to attempt to lead, serve and regulate schools without becoming seriously involved in research and development; to convene able laymen and professionals to establish goals for the schools without actually studying new insights into learning or the kinds of learning demanded by societal changes; to assemble curriculum development groups and to construct state curriculum guides with content and teaching techniques drawn out of professional experience rather than out of research; to invite professionals to state-sponsored conferences and to have them listen to interesting—if unvalidated—innovations described from the platform; to sponsor and advertise demonstration sites where what is being demonstrated has not been proven to be superior to what the visitors left behind in their schools; or to send consultants, supervisors or inspectors around the state to offer advice to school personnel without much scientific evidence to back it up.

It is also possible for a state education agency to advise the governor and the legislature on the presumed consequences of pending bills—or even to initiate legislation—without any basis for firmly predicting the likely outcomes; for a state department of education to encourage the state board to adopt new policies or regulations without obtaining or providing any firm evidence concerning the need, appropriateness or probable effects; to evaluate and accredit schools on the basis of careful professional judgment (that is, only on the "wisdom" born of experience); and to certify teachers, mandate the length of the school year, write specifications for buses and buildings, and disburse state funds without an adequate research basis for any of the requirements.

Such developments and procedures are *possible*—even probable in some states—but not a single one is desirable or defensible in any state.

State leadership should stand on a solid foundation of knowledge. So should state services, state laws, regulations and many other activities. While no state agency or department should be expected to supply single-handedly the full knowledge base it needs for guiding and executing state policy decisions—in fact, it would be both expensive and wasteful for every

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state to make such an attempt—every department should be expected to contribute something to that fund of knowledge. And it should reasonably be expected to do so partly at state expense rather than to attempt to do so entirely at federal expense.

The still primitive condition of state education department research and development (R & D)—even after the states have had the benefit of watching the extremely active decade of the 1960's when virtually every kind of education agency at least attempted what it thought of as research and development—forces one to wonder whether research and development are even feasible for many state education departments. At the very least, one can be forgiven for wondering whether much state-sponsored research and development are very likely to take place. Yet any such generalization—positive or negative, pessimistic or optimistic—tears apart when stretched in an effort to cover the always remarkably diverse state education departments. They differ as much today as ever, perhaps even more in their capacity for research and development than in any other respect. No event—even Title V of the Elementary and Secondary Education Act of 1965 (ESEA), or any other act—has made, or is likely to make, them all alike or even very similar. Generalizations about state departments are about as easy, as accurate, and as useful as generalizations about the schools they govern. Nevertheless, this chapter attempts to describe the general condition in the states in 1970 and to offer some observations as to what might be done about it.

The chapter is based partly on the author's experience as a careful observer and student of state education departments in their research and development roles, and partly on preliminary findings from a 1970 survey of state department research, development, demonstration, dissemination, and evaluation (RDDDE) functions conducted by the Institute for Educational Development under the author's direction. The study was stimulated by the research directors in several large and active state departments and was funded by the U. S. Office of Education. The complete report is scheduled for publication in the fall of 1970.

The 1970 Survey

The 1970 survey involved the gathering of data on the basis of (1) visits to 12 geographically representative states known to be active in research and development*; (2) mailed questionnaires probing into the organization, the financing, the staffing, and the content of state activities—not in the research unit alone but throughout the department; and (3) meetings at the nine regional U.S. Office of Education offices in which research personnel from 31 states participated to discuss the situation in their own departments.

Although only about one-half the states had responded in full to the

*California, Colorado, Georgia, Maryland, Massachusetts, New Jersey, New York Oregon, Pennsylvania, Texas, Utah and Wisconsin.

inquiry at the time of this writing, these states represent the full range in size, location, and scope of R & D activity. Included, for example, are Arkansas, Maryland, Minnesota, Nevada, New Mexico, New York, North Dakota and Oregon.

Definitions and Instructions

The term "research" is used to cover so many functions that a survey of state department research would mean little without good definitions of what is being surveyed. With no intent to standardize or set forth any official vocabulary, key terms were defined in the survey questionnaire. Respondents were explicitly asked to *exclude* activities which did not fit the definitions, no matter how pervasive or significant those activities might be.

The definitions were made purposely narrow. Moreover, "research" as defined was stipulated as a fundamental ingredient of every other activity; that is, an activity had to be research-based to be reported. Any development, demonstration, dissemination, or evaluation that was not based on research (as defined) was excluded. The definitions and instructions used in the study are given below.

* * *

Research

Research is defined as the analysis of data for the purpose of making generalizations. The analysis may be simple or complex, but it must be some kind of search for generalizations. The generalizations may be about trends over time, relationships among variables, similarities and differences among groups (such as types of pupils or teachers or schools) or any general statements about what the data reveal. The generalizations may of course be based on statistics computed to guide statistical inferences.

Surveys are considered research if, but only if, they embody a search for generalizations based on the data gathered.

Research may be performed *either* upon data gathered by the researcher for specific use in his study *or* upon data gathered by someone else for general use.

Research includes "library research" in which research findings are assembled from the literature, synthesized, and interpreted or used to derive implications for further research or for practice.

Exclude the normal collection of general-purpose statistics or facts, that is, the traditional, often periodic, gathering of information of the kind typically published in statistical abstracts and annual state reports, where information is tabulated *but not analyzed*. (As defined here, to "analyze" means to search for generalizations.)

The normal collection of general-purpose statistics or facts incorporates these ac-

tivities: inspecting reported figures for reasonableness, checking computations for accuracy, comparing data to a standard, computing descriptive statistics such as averages, classifying institutions on the basis of information reported, disbursing funds to or making other formula-based decisions about schools, and publishing statistics. Activities like these are not defined as analysis of data and are *not to be reported.*

It is important to distinguish between the normal collection of general-purpose statistics, when data are gathered but not analyzed, and the gathering of information for analysis *as an integral part of research.* Only the second type of data-gathering should be reported as research.

Development

Development is defined as the systematic use of research-based generalizations to create new educational methods, systems, materials, or devices which have practical utility. Included in development are the design and production of prototype processes and materials and also pilot trials to test their feasibility and to gather ideas for their improvement. Development may be used to generate new curriculum materials, new teaching techniques, new types of media, new ways of assigning pupils to schools, new architectural designs, and so on.

To meet this definition of development, such activities as planning programs, organizing courses of study, writing pupil materials and teachers' guides, or developing new instructional devices must be accompanied by *research* either before or during the development effort.

Demonstration

Demonstration is defined as the deliberate display-in-action of new methods, systems, materials or devices which are the products of research-based development. Demonstrations are for the purpose of showing the characteristics of new methods and materials to persons who might want to adopt or adapt them.

Demonstrations may be held in real operating settings such as schools or in other settings where conditions of actual use can be replicated. Simulation techniques are included if, but only if, they duplicate conditions of actual use. The audience may travel to the demonstration or the demonstration may be taken to the audience.

Included are the sponsored display-in-action of such methods and materials as classroom teaching techniques, counseling procedures, instructional equipment, management information systems, and school building designs—but only when they are the products of research-based *development.*

Passive exhibits of materials, equipment, or facilities are *not* to be included because they are not conducted under conditions of actual use.

Do not include any training which accompanies demonstration.

Dissemination

Dissemination is defined as the sending of information either about the results of research or the products of *development* or the methods and materials being *demonstrated.* Included are all forms of information transmission, as by consultation or other face-to-face communication, telephone calls, individual letters, newsletters, bulletins, brochures, booklets, manuals, films, recordings, exhibits, brief conferences, and short meetings—but only when the information is about research, development, or demonstration as defined here.

Do not include those intensive or long interchanges intended not merely to inform an audience but rather to develop other persons' skills in using methods and materials and which actually constitute training.

Evaluation

The term *evaluation* seems to be undergoing redefinition in some quarters today. Thus it is difficult to form a definition which incorporates the extremes of its current meanings. Perhaps *evaluation* defined as "the gathering and processing of information to guide decision-making" would cover the entire range of meanings.

If those several meanings are arranged as shown below, some seem closer to the meaning of research as defined in this survey while others seem further away. For this survey of state R&D, *include* A & B below (the research-like activities) but *exclude* C & D (the non-research activities).

A	B	C	D
RESEARCH ACTIVITY		*NON-RESEARCH ACTIVITY*	
Tracing events to their causes	Determining the effects of treatments	Observing and judging on-going programs	Comparing data to a standard
EXAMPLES	*EXAMPLES*	*EXAMPLES*	*EXAMPLES*
Identifying the factors behind student unrest	Measuring the learning gain from a television series	Conducting a site visit to an ESEA Title III project	Accrediting schools
Exploring the origins of teachers' unions	Comparing the outcomes of three teaching methods	Interviewing parents of children in classes for the Handicapped to get their opinions about program success	Certifying teachers
			Monitoring school spending

* * *

Important Survey Findings

On the basis of these definitions, some state respondents said they had nothing to report. They explained that—because of the lack of funds or of personnel or the press of other duties—they were not engaged in the defined activities although they would like to be in the future.

One state research director said:

> After careful study of the definitions for this survey, it is our opinion that we do not come within the specifications of the definitions simply because we perform a multitude of other tasks which makes it impossible to devote 50 percent or more time to any one or all of the areas included in the study.

Another state research director explained the situation in these words:

> At present the department of education does not have a division which cuts across all lines and functions in a manner consistent with your definitions. Such a division is in the discussion stage.

He went on to explain that discussions were underway with a state university which might result in the organization of a new division.

Other states also spoke of their expectations for the future which in some cases would contrast sharply with the present. One director said:

> At the present time, almost all RDDDE activities in the Department of Education are conducted by a Research Consultant located within the Federal Relations and Programs Branch of the Division of Operations.
> We have recently gained approval for a Division of Planning and Evaluation within the Department and are currently recruiting personnel for this new Division.

Another state in which no person spent even 50 percent of his time on research-connected activities, as defined, wrote about the imminent creation of a new nine-man unit:

> We are in the process of forming a true Planning, Research, and Evaluation unit with the anticipated support of a grant under Title IV, Section 402, ESEA and the use of Title III and Title V funds. We hasten to add that our Department is active in many aspects related to the thrust of your survey and that—given the financial resources—it expects to restructure its organization so that it will have an administrative unit staff and operate it so as to enable it to achieve (through the use of its entire staff) the objectives implicit in your definitions and questionnaires.

Respondents from several other states expressed regret at being unable to participate but said that to do so, given the definitions used, would be misleading. It became evident in discussions with these men that many projects such as those currently sponsored under Title III of the Elementary and Secondary Education Act (ESEA), are regarded as significant and useful even though they do not have a research base.

The site visits to the 12 state departments preceded the designing of the questionnaire later mailed to all states. These site visits led to some strong impressions which were later converted into a set of "propositions" in the questionnaire, intended to trigger both status reports and opinions about "what should be." The following discussion is based pimarily on the returns from the questionnaire.

The Climate for Research

The psychological climate for much state department research is far from favorable; in fact, it is unhealthy. Most respondents rejected as "seldom true" the optimistic survey proposition that "There is interest in

and support for educational research." No matter how the question was phrased, they gave the same answers. Almost unanimously they agreed that educational organizations—such as teachers' associations and federations, school board associations, PTA groups, and so on—do not give a high priority to research. Nearly all respondents believe that during a period of fiscal retrenchment, state research activity will be cut back before operational programs are reduced. They seem to be convinced that evaluation and assessment are considered more important than research, and noted that local schools are more likely to ask for the former than for the latter. (In the definitions given earlier, some forms of evaluation are defined as "research".) Moreover, the RDDDE administrators who reported said that research conducted within the department is usually not held in as high esteem as that conducted outside the department. Over one-half believe that the department is more likely to disseminate or to use research findings than it is to produce them.

Research, Development, Demonstration, Dissemination and Evaluation (RDDDE) in the Administrative Structure

Over one-half of the reporting units must go through one or two administrative layers before reaching the chief state school officer. Only a minority of the research and development heads report directly to the top official. (See later discussion of the increasing relations between research and planning.)

The work of the units performing RDDDE functions is coordinated only informally with that of other units in the department and most of that comes through the initiative of the various unit heads themselves. It is not very common to find coordination provided by the chief state school officer's cabinet and still less common to find a department coordinating committee.

One-half of all the administrative units reporting have been reorganized since 1964, probably in many cases as a consequence of the passage of ESEA in 1965. Most of these units have been expanded in size.

The placement of RDDDE throughout the department is not governed by an overall management plan, according to about half the responses. (As indicated earlier, the survey covered not only the "research" unit in the department but RDDDE wherever placed and performed.) Moreover, the procedures used for coordinating and managing RDDDE are often used without adequate evaluation and testing. The questionnaire asked whether any recent management study of the department had proposed or accomplished any change in the department's structure for managing research and development. Some reported such an impact, but most did not.

State Funds for RDDDE

Fewer than one-half the departments receive a regular allocation of state funds expressly designated for RDDDE. Support for research is a

bit more frequent than support for development, evaluation, or dissemination; only a handful reported that state funds are available for demonstration.

Of the departments that have some state support for RDDDE activities, most depend on traditional budget allocations or, occasionally, on regulations by the state board of education or the chief state school officer. Only about three find their authorization in statutes.

Constraints from the Governor and the Legislature

A clear majority of the respondents believe that the governor's office and the legislature are more likely to express an interest in departmental planning or evaluation than in research. About one-half said that activities which do not meet the information requirements of the governor or the legislature are likely to suffer budgetary neglect.

Respondents repeated the already familiar list of constraints, which of course affect the entire department, not the RDDDE operations alone. These include: civil service regulations; the extreme slowness of administrative and personnel units to approve new positions at appropriate salary levels; political cross fire between legislatures and governors; highly restrictive legislative control over department organization and operations; low salary ceilings for governors and state superintendents under which everyone else has to crouch; and so on down a long list. There were few novel complaints and it is just possible that the chorus of outcries is softer now than in previous years.

The Relation of Research to Planning

There is evidence on every hand that state education departments, perhaps following the federal lead, are becoming increasingly concerned about planning. In a number of states the planning function is being bracketed with the research function into a single administrative unit, as became the case last year at the federal level when the U.S. Office of Education merged planning, research, and evaluation functions into a single administrative unit. Thus, the survey set out to check the possibility that planning might be becoming a kind of "envelope" for research.

In response to several propositions, respondents made it clear that, as of 1970, the requirements of planning personnel in the state department of education (or other state government agencies) do not usually determine the research activities, although the majority agreed that this occurred some of the time. Most observed that research and planning are usually treated as related entities, but noted that research seldom, or only occasionally, provides input for the planning process. This may be because planning is only an embryonic function in most state education agencies, because the amount and type of research now being conducted by the departments does not contribute to planning, or perhaps because of poor coordination between the two. Whatever the reason at present,

it seems highly desirable in the future that research results become useful to the planning process. Those concerned with planning are potentially important clients for researchers in state departments.

A number of state department researchers reported that planning units have greater access to the upper levels of the departmental hierarchy than do the RDDDE units. Most of those who sensed such preferential treatment considered it objectionable, but they did not object to the fact that in a sizable number of states planning personnel have become, or are becoming, an intervening layer between the RDDDE staff members and departmental policy makers. Presumably, they believe that "planners" should form such a layer but that their existence should not deny the RDDDE units access to top departmental leadership.

The questionnaire also asked whether research staff members were moving into planning roles within the department. This is seldom the case, according to the reports.

Respondents noted, incidentally, that local school systems request help with planning more often than they request help with research—apparently another indication of local preference for department services other than in conducting research.

Data Processing

Research requires data. Title X of the National Defense Education Act (NDEA) was intended to help all state education departments build a data-processing system that could serve, among other units, a department's research function. The questionnaire cheerfully proposed that departments have their data well in hand, using this statement among others: "Large arrays of routinely collected data are machine processed, electronically or mechanically stored and can be readily retrieved. "This statement is not correct, according to most research directors. Few departments have adequate internal capability for data storage and retrieval and most of them do not have the funds to contract for outside services. While nearly all respondents believe that their departments should be able to make routinely gathered data readily available, and should be able to make special collections when necessary, most reported that this was seldom the case.

About one-half the state respondents said their statistical unit supports their research, evaluation and dissemination activities. Fewer states provided similar support for development and demonstration where statistical services may not be as necessary.

Short-Range versus Long-Range Studies

Investigations and projects to support short-range state decisions predominate over studies designed to provide a basis for long-range decisions, despite the fact that most respondents consider this an unsatisfactory state of affairs.

If a study with implications for long-range decision making is conducted, it is far more likely to be supported by federal funding than by state funding. One might almost think that there is only federal interest in the distant future, but what is probably at work here is the frequent pressure on a department to attempt to determine the immediate effects of bills pending before the state legislature or to deal with other "crisis" situations. That understandable activity evidently utilizes most of the available state funds. (It should be remembered, of course, that not all state funds go for studies that will provide a basis for either short-range or long-range decisions; some of the money goes for studies which expand the general fund of knowledge without implying any specific decisions.)

Technical Assistance and Service to Others

There has always been much talk about the obligation of state departments to serve the needs of local schools and other educational units. One way to serve in research and development is to provide advice, technical assistance, and direct service by designing and perhaps even helping to conduct research studies. Most respondents say they do provide technical assistance, at least to the extent of reviewing the existing efforts in other units and determining services needed. Fewer than one-half the units providing technical assistance are able to supply any kinds of systematic service. Departments even less often train the staff members of other units in RDDDE or actually help them implement a project.

Assistance goes most often to local districts, next most often to other units within the department itself, then to regional or multi-district school units. Service to non-education units of government and to non-governmental units such as teachers' associations is less frequent—which may help explain the lack of a constituency among professional associations, for example, for state department research and development activities.

Outside Contracting

About one-third of the states award contracts or otherwise grant research and development funds to outsiders, usually to local school districts for demonstrations and to colleges and universities for research and evaluation. (One state, New York, reported supplying funds to a regional educational laboratory in 1969-70). Asked whether they preferred to cultivate or use outside research capability rather than to develop it internally, most respondents indicated a preference for building internal capacity (which is not likely to be done in a state that relies primarily on outside contracting). This long-standing desire continues to face an uphill struggle, as is evident from the other data gathered.

Those few states with an active interest in outside contracting think it is likely to grow. They cite several advantages, including:

- It is better to select from a wide range of specialized competencies via contract rather than trying to embody them in one person.

- Contracting with outsiders eliminates the problem of having to find another position for an employee after a short-term activity is completed.
- Contracting is a way around the long delays in waiting for civil service appointments.

A few states reported that they have had more success with consulting firms than with colleges and universities, where graduate assistants are often assigned the work but become inaccessible to control.

No matter who the contractor may be, said the respondents, the activity is not trouble-free. They commented on the need for writing detailed contract specifications, for intermediate checks on the progress of the work, for close monitoring, and for accumulating knowledge about the capabilities of contractors.

Affiliations

Two-thirds of the states reported being affiliated with an *interstate* organization, while only one-third are affiliated with an *intrastate* organization. This information suggests that departments find it easier to relate to other departments than to other kinds of administrative units or institutions within their own states. This is understandable and doubtless can be explained in part by the interstate partnerships created in response to ESEA Title V, Section 505, which supports multi-state projects. Nevertheless, it is not reassuring to find that only one-third of the departments have been able to stimulate or even become linked to any within-state organization or institution devoted to research and development.

RDDDE Staffing

Personnel problems in state departments have long been a cause for lament and concern. RDDDE personnel have never been and currently do not constitute an exception to the general complaint. But a number of state respondents say they believe that their situation has improved somewhat; that their salaries are more competitive, and that the work they can offer is more attractive than it has been in the past. Still, the conditions do not look very promising as shown by the findings noted below.

About 50 percent of the RDDDE personnel are supported by federal funds, a situation that is not very different from the proportion of federal support for other state personnel. That figure would indicate that while the states are no less favorable to RDDDE than the federal government, they are no more favorable.

RDDDE personnel are relatively young and have had limited experience in their present jobs, presumably partly as a result of the recent expansion of RDDDE units. About 70 percent of them are under 40 years of age. At least 80 percent have held their present positions for two years or less.

Most respondents said that the department has difficulty in finding

and adding skilled RDDDE staff members. About one-third of the RDDDE staff positions are filled by people who came in from local school districts, about one-third by people who came from other positions in the RDDDE unit itself or elsewhere in the department, about one-sixth from universities, and about one-sixth from other sources. New staff members brought in from local school districts are seldom "retooled" for RDDDE tasks.

State departments of education continue to depend upon the personal acquaintanceships of existing department personnel as a source of recruits. Even for positions in research and development, where a somewhat more cosmopolitan and better trained incoming group might be expected, reports from over 200 RDDDE personnel show that 60 percent had heard about their first position in the department from someone already employed there. Similarly, 60 percent said they were strongly influenced in their decision to join the department by the persuasion of a current staff member, and 40 percent said that the influential department member was, in fact, a personal friend. While one cannot criticize the loyalty to their organization which encourages department members to recruit newcomers, one can question whether the kind of research and development talent needed in state education departments today can continue to be drawn so largely from the friends and acquaintances of the existing staff.

Roughly one-third of those responding had exerted some kind of leadership in the past five years, as by directing a special project within the state (using funds from other than state sources) or by holding a position of leadership in a regional or national professional organization. Presumably, some individuals had brought themselves to the attention of the state department through such leadership.

Those who stay in the department are not as well educated as those who leave, judging from the data gathered on a national sample of staff members who left their departments in the past year. While 80 percent of those who left hold graduate degrees, only 60 percent of those who continued in the department have graduate degrees. Again, while 40 percent of those who left hold doctorates, only 20 percent of those who stayed have doctorates. It seems clear that the departments are still unable to match universities in recruiting power, as shown by the two-way traffic flow: 40 percent of those who left last year entered universities whereas less than 20 percent of those who remained came into the department from universities. A full 75 percent of those leaving gave career advancement and higher salaries—in that order—as their reasons. They had been in the department for an average of only two years.

About one-fourth of the states reported the use of joint appointments, most often with universities, with an occasional appointment with an R & D center or a consulting firm. It is somewhat surprising that this arrangement, which ought to have some attraction for all parties, is so little used as a means of getting the services of RDDDE personnel,

especially when such personnel find something attractive in the university atmosphere. Moreover, joint appointments ought to offer at least as many advantages as outside contracting.

About one-third of the states provide some kind of training in research and development, usually for department personnel, but in some cases for local school personnel, ESEA Title III project staffs or other persons outside the department. Ordinarily a university is involved in supplying the training, which sometimes leads to a higher degree for the department staff member. An occasional department provides paid study leaves for staff improvement or reimburses staff members for university tuition charges.

Conclusions and Observations

State education departments have come out of the 1960's somewhat improved but not remade. Their ability to perform or to stimulate and support research and development and related functions has been strengthened somewhat, largely at federal initiative and with federal funding. Yet no state education department enters the 1970's with a satisfactory organization for RDDDE, with sufficient staffing, or with adequate funding either from state or federal sources.

Something is fundamentally wrong. In the past century, state governments have time and again pioneered services that became prototype models for the federal government to utilize and extend nationwide. This has been true for agricultural experiment stations, for health services, for highway programs, for new kinds of welfare programs, and for many other endeavors. It has not been true for education or for educational research and development and it is not true today, even though education has become the most significant and costly function of state government. For twenty years there has been no memorable state initiative in educational research and development. From the federal government, on the other hand, (after some pump priming by philanthropic foundations) there came the curriculum reform movement in the early 1960's, university-based Research and Development Centers and the Regional Educational Laboratories in the mid-1960's, ESEA Title III with its emphasis on innovation (albeit not research-based innovation) in the mid-1960's, and a number of major projects such as National Assessment in the same decade. The states have consistently moved slowly and not in the forefront, and many have followed at a considerable distance.

The full set of reasons for reluctant state support of research and related functions in education would be difficult to identify and to rank accurately. However, there are two which are both clear and weighty:

(1) State education departments evidently are not expected by governors and legislators to engage in reflective study or to make general contributions to the fund of research knowledge. Apparently they expect the departments to monitor local school systems in an effort to ensure that minimum standards are met, to assure

local compliance with state statutes, to license teachers, and to disburse state and federal funds. Considerably higher aspirations for state education departments, articulated by professional leaders for over a century, have not caught the imaginations or changed the minds or loosened the purse strings of either the administration or legislature in most states.

(2) The research tradition in education, born and nurtured in university settings, has not yet produced a breed of men who have both the desire and the ability *to turn scientific inquiry to the service of social policy decisions.* That is, state education departments have not been able to locate or to train a cadre of researchers who have an intuitive sense of the kinds of questions a governor or a legislator is likely to ask and who have command of techniques for giving data-based answers to such questions.

It seems unlikely that continuing for the next ten to twenty years in the traditional direction will change the situation appreciably. Governors and legislatures and state departments themselves are not likely to change their basic character. Research and development will either have to find a way to live in the present relatively unfavorable climate or continue to struggle for funds to meet emerging challenges and needs. They may have to make drastic accommodations. Perhaps what is needed is a new conception of what research and development ought to mean in state departments of education—not in universities or in research agencies—but in state education departments.

In an effort to stimulate further thinking, the following set of propositions is offered. They are grounded in the belief that a state department of education provides a unique setting for research and development and that, to survive and grow in that setting, those functions must be uniquely fitted to its emerging roles:

- The proper target of state department of education research is *improved practice*—not theory.
- The natural clients are not members of the profession at large, but other administrative units within the state and especially in the state department of education itself.
- The natural companion of a state department researcher is a state department planner.
- The best research designs for a department are not experimental but evaluative.
- The proper kind of evidence to be gathered is subjective as often as it is objective.
- The correct location is not the laboratory but the library, the information center or the operating schools.
- The appropriate criterion for judging the success of a program is

not effectiveness but benefits in relation to feasible alternatives and costs.

- The appropriate consequence of state education department research is not understanding but action.
- The correct mood is not reflection but a desire to reach the deadline before the pending decisions have to be made.
- The proper audience for a research report is those who make decisions about education and the operation of the schools.
- The appropriate media for reporting findings are not professional journals but the public press and radio and television.
- The most suitable outcome is not merely a finding but a new policy, law, regulation or practice or a new advisory bulletin.

Some of the major problems relating to education in most states seem to result from two sets of conditions: (1) many educators, legislators and other officials have become so accustomed to making decisions about changes in education on the basis of pressures or what seem to be "promising ideas" that they tend to ignore the potential contributions of research studies and findings and, at best, rely on the limited information that is readily available; and (2) the role of the state education agency in conducting research and utilizing research findings has not been clearly defined or agreed upon. Many people still tend to assume that research should be conducted by university laboratories and private organizations and that most of it has little relevance for the resolution of current or emerging educational problems. The fact that planning and effecting needed changes in education should be based insofar as practicable on research studies and findings is all but ignored in many states. This concept, of course, does not mean that urgently needed decisions can or should be postponed until conclusive evidence is available from research, but rather that insofar as possible research should be so planned and conducted that the findings will be available for utilization when important decisions need to be made.

There is far more evidence potentially available from research studies already completed relating to various aspects of education including its administration and support than has been utilized in any state. Every staff member of a state department of education should be familiar with the research in his area of specialization and be able to communicate effectively the pertinent information to all who are concerned with the improvement of education. Morever, this information should constitute an important part of the background for planning any special or supplementary studies that need to be conducted in a state. Other steps that seem appropriate for every state education agency include:

- With the help of a competent advisory committee and consultants, attempt to identify the areas in which further research is needed, the specific studies that should be made, and agree on the priorities.

- With the assistance of a research council, including representatives from institutions of higher learning and perhaps local school systems, attempt annually to identify and obtain commitments for those studies that can best be made by personnel in the state department of education, by students and professors in institutions of higher learning, and through contracts with outside groups.
- Identify one or more members of the state department staff or obtain the services on a part-time basis of consultants from a university or elsewhere, who can assist department and local school system personnel in designing and conducting defensible and meaningful research studies.
- Devise and implement an appropriate plan for analyzing and making available to all who should be interested the findings, conclusions and limitations of all important studies relating to each major aspect of education.

The evidence provided by some studies may be sufficiently conclusive to justify a change in policy or in some aspect of education. In many cases, however, the evidence may only indicate the need for further study or a limited "try-out" of the findings in certain kinds of situations. In other words, there may be a need for testing and determining the implications (as in the case of a new hybrid in agriculture) for further development of a promising proposal before general adoption can be recommended. Moreover, even though the evidence and the try-out results seem to justify a change it may not be readily accepted. Thus (again as in agriculture) there may be a need to plan for one or several demonstrations in order that others may see for themselves the proposed change in actual operation. Those who are convinced that the change constitutes an improvement may also seek to adopt it and help to encourage others to do likewise. Thus demonstration may help to disseminate the idea or practice but other means of dissemination must also be utilized if the practice should be generally adopted. Evaluation (discussed in the next chapter) is, of course, essential in connection with every step of the process in order to determine the extent to which learning is facilitated in relationship to the investment required and other pertinent factors.

Every state education agency needs to be in a position to provide the leadership and services essential for every step of this complex operation to be implemented effectively. In no other way can continuous progress in improving education throughout each state be assured. The provision of federal funds to help with the accomplishment of some of these purposes has already begun to make a significant difference in many states, but unless adequate state funds are also provided for the RDDDE functions the progress in most states will lag seriously behind the needs.

Chapter 8

Evaluating Education in a Changing Society*

If the educational system is to assume the responsibilities and perform the functions that seem essential in modern society, many changes will have to be made in organization, programs, support and all other aspects that affect learning environments, opportunities and procedures. In order to determine the adequacy of existing provisions or the appropriateness of proposed modifications, there must also be fundamental changes in procedures for evaluating education and its components and for ensuring the accountability that legitimately is being demanded by many people.

During the first half of this century much of the emphasis in evaluation was placed on the development and utilization of standardized achievement tests, presumably designed to make available information that would be helpful *primarily to students,* but also would be useful to teachers, counselors and others in working with students. However, these tests were not always used with this primary purpose in mind. *The ultimate worth of any evaluation lies in the benefits it provides for students.* This criterion should be kept uppermost in mind in any evaluative effort.

Concepts of evaluation have changed and will continue to change but no longer can evaluation be considered something apart and independent from educational practice. It should be recognized that any evaluation of education is determined by educational practices and needs, and that education in turn, will be molded in part by evaluation.

New demands on, higher expectations for, and increased criticisms of the schools are leading to changes in the emphases in educational evaluation. Students and programs—although the most important—are only two of the elements of education which must be evaluated. For example, the importance of environmental factors for the learning process—and more particularly, of the student's perception of his environment—has long been recognized by educators and psychologists. The research of Wolf[1] and others has led to new perceptions about methods of evaluating environmental factors that include community resources and the local provisions and procedures in the organization, administration, and support of education.

State education agencies, because of their strategic position in the structure of the state's educational endeavor, also must be evaluated. This

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evaluation needs to reach a much higher level of sophistication if these agencies are to carry out successfully the important responsibilities envisioned for these agencies. Perhaps one reason so little attention has been devoted to the evaluation of state education agencies—and why past efforts have yielded largely unsatisfactory results—is the fact that the role of these agencies has been described only rather tenuously (at least in practice) and varies considerably from state to state.

State education agencies are in a unique position to provide needed leadership in identifying problems, generating alternative solutions, planning and effecting needed changes, and evaluating the results of these changes. One of the most important contributions that can be made by state education agencies is to provide leadership in planning evaluation strategies to be employed at the local level. Some of the more forward-looking state education agencies are engaged in this task at the present time. All must do so in the near future if these agencies are to become dynamic organizations that provide effective leadership for the state's educational enterprise.

Evaluation and Resource Allocation

Evaluation basically means a determination of the worth of some thing or process. It culminates in the passing of some judgment on the part of the evaluators and of those who use the results of the evaluation. Evaluations of education are being made continuously by parents, students, legislators, businessmen, professional educators and taxpayers. Some people evaluate education on the basis of the *product*, but most are concerned with *process*. In essence, an evaluation has been made when an irate parent arrives at school to "straighten out" the teacher, when a high school student becomes a dropout, or when a college student riots. Business men evaluate as they employ and supervise the products of the schools. Laws and appropriations applicable to education reflect evaluations made by legislators. Changes in curriculum, organization, and procedures are primarily outgrowths of evaluations that have been made by educators. Unfortunately, however, most evaluation activities in the past have been highly informal and *process oriented*.

Additionally, many evaluations made by parents, students, legislators, and some educators are crisis-generated and, consequently, are hastily arrived at, superficial, and without an empirical base. Solutions to "crisis problems," therefore, are frequently temporary and based on expediency. The solutions themselves usually are not evaluated except in terms of whether peace has been restored to the scene, dissident groups quieted, and criticism either satisfied or forgotten. They are usually informal, highly pragmatic, and woefully short-lived.

There are forces at work in the "contingent society," referred to in Chapter 1, that are leading to demands for evaluation on a more formal basis. Although many of these demands are still crisis-generated, there is

a growing realization among more thoughtful legislators and educators that many decisions including those relating to resource allocation must be based on more and better information than has been available in the past. Resource allocation is an ever-present feature of the contingent society. Our resources never match our demands; the allocation of resources to any single endeavor is contingent upon the allocations made to other efforts. Indeed, one suspects that if our resources ever exceed our demands, new demands would be invented to consume those resources.

Resource allocation is highly dependent upon cost-benefit analyses which in turn are dependent upon evaluation. Adequate evaluation information, therefore, *must* be in the possession of those who are charged with resource allocation, whether it be at the national, state or local levels. Evaluation for this purpose needs to be much more formal and sophisticated than it has been in the past. In times of ever increasing societal demands on resources, decisions concerning allocation of these resources should be based upon empirical, reliable data and not on emotional reactions to current crises. It is imperative, therefore, that the political art of allocation be developed into a science based on reliable data. Reliable and valid data may be obtained only on the basis of a much more defensible evaluation system than is currently utilized in most situations.

At least the more progressive state education agencies have recognized the importance of a sophisticated evaluation system and have initiated planning and piloting projects to attain this goal. A useful evaluation system is not developed in a short period of time; systematic planning is necessary and pilot projects need to be implemented and evaluated, with consequent revision that is based on feedback. State education agencies could further this effort by establishing a strong evaluation component.

Evaluation and Quality Control

The success of many industries depends upon their system of quality control. Elaborate mechanisms have been devised, especially in high volume manufacturing industries, to sample production units in order to insure that each unit meets quality specifications and performance criteria. When units fall below the specifications, something has gone amiss in the process and steps must be taken to correct the error. The quality control mechanism provides feedback to the manufacturer.

Evaluation as Feedback and Guidance

Evaluation, or at least one aspect of it—measurement—provides feedback to educational decision makers and lends guidance to their decision-making processes. Teachers have used (and frequently misused) tests as a feedback device to assist in evaluating student performance. More importantly, but less frequently, they have used the tests to evaluate the quality of the instructional process. Tests used to evaluate the instructional process can provide important feedback for, and lend

guidance to, teachers in making decisions about curricular and methodological changes. The fact that the utilization of tests for this purpose is infrequent does not detract from the worth of such evaluation. It serves perhaps as a commentary on the quality of preparation programs for teachers in the area of evaluation.

Many school systems use standardized tests as a tool for making decisions about curricular and methodological change. Such use of standardized test results is an example of the misuse of tests and test results. Standardized tests are norm-referenced and do not lend themselves to this type of use.

When pertinent evaluative devices are used at proper times and for appropriate purposes, the information received may be used by educators and educational decision makers to plan and effect necessary changes. *This use presupposes that educational goals are clearly delineated.* Ignorance of one's goals decreases the value of possessing information as to where one is at any given time. The captain of a ship at sea could receive accurate, periodic reports of his position, but this information could serve no really useful purpose if he did not know his destination.

Too frequently, schools, school districts, and even states have temporarily soothed worried patrons with masses of data purporting to prove the superiority of educational programs or schools without giving any clear idea as to whether such achievements have contributed to reaching the goals—simply because the goals were never clearly stated and agreed upon by all concerned parties. The importance of goals was clearly and succinctly stated by a southern superintendent, in discussing reasons for successful integration efforts in some districts, when he said, "Our opinion is that a common characteristic of these school districts was the identification and pursuit of clear-cut goals on which the community could agree."[2]

Evaluation and Accountability

The concept of accountability, the parameters of which are only dimly seen at the present time, is one that is virtually certain to receive rather dramatically increased emphasis in the years ahead. The Education Commission of the States chose accountability as the theme for its 1970 annual meeting, realizing that the 1970's would be a decade during which accountability would be emphasized. Unfortunately, the concept has not yet received adequate attention from scholars in the field and, as a theoretical construct, accountability is in its infancy.

The dictionary is of little use in defining accountability. It gives as a synonym, "responsibility." While this is a beginning, the definition needs expansion if precision in meaning is to be achieved. Two people talking about accountability are likely to be talking about two different things. A legislator may believe that schools are accountable to the legislature because it appropriates money for school operations. Congressmen may

believe that education should be accountable for the manner in which federal monies are expended in school programs. Some federal legislation currently in force, and much proposed federal legislation, includes a requirement for evaluation of programs and projects that are supported by federal funds. In this regard, the importance of an independent education audit has been stressed by U. S. Office of Education personnel and others. President Nixon stressed accountability in a message to Congress on education, and James Allen, Jr., former U. S. Commissioner of Education, said, in his testimony to the Senate, "The strengthening of the concept of accountability in our educational system is imperative."[8]

On the other hand, educators are likely to believe that legislators should be held accountable for the manner in which they provide (or do not provide) financial support for the schools. Many may insist that, since education is a responsibility of the state and legislators set policies through legislation, these legislators should be held accountable to the educational community. Thus, accountability has a number of dimensions that have to be considered.

Who should be accountable to whom and for what? Most lay citizens, when confronted with this question, find it rather easy to "answer." They are likely to say schools ought to be accountable, and that they should be accountable to the taxpayers. This answer is illustrative of the present level of thought about the concept. Somehow, whenever accountability is mentioned, it seems to be connected with money. While there is nothing wrong with a taxpayer's wish to get his money's worth, accountability goes beyond this level. Most people would agree that *schools should be held accountable.* But, to whom should they be held accountable?

Several possibilities can quickly be identified. These would include taxpayers, boards of education, parents, legislators, governors, Congress, and state education agencies. Various beliefs that are expressed indicate that the schools should be held accountable to: taxpayers because of the financial support they provide; school boards because they set policy and represent the community in its educational enterprise; parents because of their interest in and concern about the education their children receive; legislators because they set educational policy for the state and provide financial support to implement those policies; governors because they are the chief executive officers of political entities which have the prime responsibility for education within their state boundaries; and state education agencies because of their regulatory functions, especially those relating to certification and accreditation.

One additional possibility that does not seem to occur to most people is that *schools should be accountable to students.* When one considers the amount of time invested by students in attending school, certainly the schools should be held accountable to them from the standpoint of affording the best learning opportunities and helping the students to invest their time wisely.

Assuming that the schools ought to be accountable to one or a combination of the above possibilities, another question arises. For what should they be accountable? A concerned parent may answer "for educating my child;" an aggravated taxpayer may say "for keeping down expenses;" an educator may insist "for enabling students to function in a worthwhile manner in a democratic society;" an employer generally answers "for teaching students usable skills;" the traditional state education agency may say "for employing certified teachers and meeting accreditation standards;" a student probably would answer "for making sense to me." These and other comments contribute to the bewildering array of responsibilities that are assigned to the schools. Further, some of these may be mutually exclusive. For instance, providing for individualized instruction may not be possible in a school system because of the insistence of taxpayers on keeping down expenses.

The Importance of Goal Setting in Accountability

Earlier mention was made of the importance of goal setting in education. In a very simple sense, schools are held accountable for helping students and personnel to reach pertinent goals. *Mutually agreed upon goals between the schools and those to whom they are held accountable is a necessary condition of accountability.* One can hardly expect school personnel to be held accountable for achieving a goal about which they know nothing, in the same sense that the captain of a ship cannot be held accountable for reaching a certain harbor if he is not told the name of the harbor. *Recent manifestations of dissatisfaction with public education may not be so much the result of poor educational processes as of confusion over the goals of education.*

How can we know when goals have been achieved? If a person wishes to travel from one city to another and chooses to do so by train, he has chosen his goal and his method of reaching it. But he must also know when to get off the train. He wishes to go to a certain city, not just any city that happens to bear some resemblance to it. He must therefore be able to identify and describe his goal. He must be able to determine when he has reached his goal if he is to be held accountable for getting off at the right station. Cities, unfortunately, are easier to identify and describe than are most educational goals.

Educational goals are frequently stated in such general terms that it is difficult to define them completely and precisely. One of the many goals that are proclaimed for education throughout the nation and included in practically all state and local statements of goals is "to educate pupils for good citizenship." A worthwhile goal indeed! Stated in this manner, however, it is not attainable in the sense that schools will know when it has been attained. It must be analyzed and divided into its elements.

What is good citizenship? Is it keeping within legal boundaries set by society? Or paying one's income taxes? Or voting in an informed manner? Or participating in civic affairs? All are elements of "good" citizen-

ship in a *democratic* society (an added condition). How should success in achieving this goal be measured? Must schools wait to see whether their graduates vote in elections after having become informed on the issues? Certainly this could be called a valid criterion—actual performance. Unfortunately the method is cumbersome, costly, and its measurement too long delayed to be of any assistance in making educational decisions. To be sure, we can, in the aggregate, determine the percentage of eligible voters who actually vote in any election. We cannot tell, however, whether they voted on the basis of interest and information or because the precinct captain furnished their transportation. It is known that those who understand how elections are conducted and how to cast a ballot are more likely to vote than those who are ignorant about these matters. Such knowledge can be provided by schools. How much of this knowledge the student has mastered *can* be measured. A measurable objective can be established that, when reached, will contribute to the achievement of one of the elements of the general goal. Thus, a second necessary condition in accountability may be stated: *goals must be stated in measurable terms.* This is the *what* of accountability.

The Accountability Partnership

Thus, accountability must include *mutually agreed upon goals,* and progress toward attaining these goals or their elements must be measurable. However, the definition is not yet complete. An additional element of accountability involves another aspect of mutually agreed upon goals. It relates to the question: Agreed upon by whom? Obviously, goals should be agreed upon by (1) the person or organization empowered to hold another person or organization accountable, and (2) the person or organization to be held accountable.

The above answer brings up some interesting questions. What agreements have been reached between whom in the field of education? The writers of the constitutions of the several states were aware of the value of education and provided for a system of free public education. In turn, the constitution usually assigned the responsibility for providing this system of free public education to the state legislatures. Most state constitutions have mandated legislatures to provide for the establishment of local school districts. The basic responsibility for providing education, then, has been assigned to the local school district level. If we assume for the purpose of simplification that the two parties primarily involved are the legislature (representing state government) and local school districts, it follows that the goals must be mutually agreed upon between these two levels of government. There are numerous other pairings in the accountability partnership where goals must be mutually agreed upon, for example, student and teacher, teacher and supervisor, and board and administrator. The state education agencies clearly have a major role in assisting all parties concerned to resolve the issue of goals and, in the process, to bring about some clarity in the interpretation of the responsibility for accountability in a state.

The Assignment of Responsibility

In an effort to arrive at other necessary conditions for the establishment of accountability, let us assume that the state holds local school systems responsible for preparing graduates who will make "worthy use of leisure time." *Worthy* is hardly a measurable term but an agreement could be reached that one of the elements of worthy use of leisure time is interest and proficiency in one or more follow-up recreational activities—that is, an activity that a student is likely to continue after graduation, such as golf, tennis, swimming, hiking, camping, and the like. Inventories exist that can be used to measure interest, and proficiency can be measured against performance criteria. Assume further, however, that a recreation district is coterminous with a school district. Recreation districts typically offer diverse opportunities and attempt to foster interest in their activities and create proficiency in them. If interest and proficiency have been measured and both are found to be high, to which organization can the success be ascribed? Or, if both are weak, to which organization may the failure be ascribed? We could, of course, examine the number of lessons given, the number of students taught, the number of sessions held, then ascribe some value to these quantities and perhaps arrive at some tentative conclusions. These are measures of *input* but input measures have not always been demonstrated to have a high degree of correlation with goal achievement.

A third necessary condition of accountability that must be considered is *the responsibility for goal achievement must, as nearly as possible, be assignable and be definitely assigned.* It is difficult to assign certain responsibilities uniquely to the schools since there is always the possibility, even probability, that much of what students learn is derived from their environment including parents, siblings, peers, television, and so on—their total gamut of experiences.

Conditions and Constraints

Thus far, accountability has been discussed as a responsibility that is clearly identified, measurable, and assignable. There is yet another element to be considered. In the real world in which the public schools are operating there are conditions and constraints over which the schools have little or no control. For example, expectations may be set at a higher level than available resources can support. Parents may be expecting certain results from the schools and at the same time may oppose an increase in the tax levy. By doing so they impose a condition or constraint within which the school district must operate. Unfortunately, expectations are seldom, if ever, reduced when constraints are imposed. Constraints are quite diverse and are not limited to the financial support provided for the schools.

The conditions that qualify goals and objectives must also be specified. If one of the objectives of a school is to teach young students to read at a certain level of proficiency, one of the conditions should be that it be

accomplished within a specific period of time. It might also be specified that no more than a certain amount of money be spent in accomplishing the objective. These are the stipulations under which the goals must be accomplished. A fourth necessary condition for accountability is that the *constraints and conditions must be specified.*

Accountability thus may now be defined as an *assignable, measurable responsibility to be fulfilled under certain conditions and within certain constraints.*

Some evaluation techniques necessary to the measurement aspect of accountability are currently being investigated and tested. It is anticipated that the demands being made upon evaluation methodology by the concept of accountability will bring about an increase in efforts to develop valid and reliable techniques for educational evaluation. State education agencies need to be in a position to provide effective leadership in these efforts.

Accreditation as a Method of Evaluation

Accreditation is one of the older kinds of formal evaluation. It is formal only in the sense that accreditation manuals and specific criteria are used by official visiting evaluation teams and reports are made by schools in the intervening years between official visits. Unfortunately, little emphasis has been placed on measuring *outputs:* most of the emphasis has been on *inputs.* Further, most of the evaluation criteria have not been tested empirically and have not been demonstrated to have a high positive correlation with desirable educational outcomes when measured in terms of pupil accomplishment. The standards used in accreditation have, by and large, been developed through the use of expert judgment rather than by empirical means.

Some studies have shown that there is *no* positive correlation between some of the accreditation standards and pupil achievement. For instance, Metzner[4] examined a number of studies relating to teacher preparation and found that *length* of teacher preparation had no correlation with increased pupil learning. Yet, length of teacher preparation is an integral part of accreditation models. Most people believe that a teacher with a master's degree is better qualified than one with a bachelor's degree and should be able to offer more to students, especially in specific subject matter content. Such may be the case, but this has *not* been demonstrated *empirically.* When a school is accredited by an accrediting agency, such as the North Central Association or the state education agency, patrons presumably are assured that all is well, that their school is a "good" school, and that their children are getting a "good" education. But the only real assurance they have is that the school meets certain standards adopted by many educators over the years. To be sure, the opinions of experienced educators based on a great many observations of pupil and

teacher behavior is not to be taken lightly, but the point to be made is that *the traditional accreditation process has not been validated.*

It is doubtful that significant differences in pupil outcomes could be shown between two schools, one of which had twenty library books per student and another that could muster only eighteen or even fifteen. If a significant difference could be shown, it is possible the difference could be in favor of either school. It could be that the school with only fifteen books per student elected to utilize available funds for video-tapes and film loops and that this expenditure might have resulted in a higher degree of educational effectiveness than the additional five library books. If a significant difference did exist, it would be virtually impossible to establish a positive cause-and-effect relationship since many other variables would exist that might have an important effect on the differences. *Accreditation, in its present form, is not a method of evaluation through which a cost-effectiveness ratio of educational endeavor can be established.*

An Accreditation Alternative

An interesting variation on present accrediting procedures is being developed by the Colorado department of education. This new "contract accreditation" plan, by focusing on goals, should lead to more meaningful educational improvements through *long-range planning* and a better perspective. A school district may choose to become accredited, or to maintain its accreditation status, by agreeing to an improvement contract with the state board of education.

It would appear that the success of this method of evaluation would be contingent upon the kinds of provisions included in the contract. If the items agreed upon are of a performance nature the method is strengthened. However, if the performance criteria are in terms of input only and correspond to present accreditation criteria there is little to be gained. For example, if a school district agreed to raise its expenditure per pupil from $450 to $475 over the next three years there would be no guarantee that pupil outcomes would be improved, especially in the absence of an agreement as to purposes for which the increased funds would be expended. If, for instance, the additional funds were to be used to increase the number of library books per student from fifteen to the accepted twenty, there is little evidence to indicate that such an increase would result in significant differences in pupil achievement.

Evaluation is a significant ingredient in the plans that must be developed prior to participation in a system of contract accreditation. A rather extensive evaluative effort would be necessary to establish local benchmark data before the terms of the contract could be formulated, especially if gains to be made were to be in terms of pupil performance. Evaluation would also have to occur at the end of the contract period to determine whether or not the terms of the contract had been fulfilled, and possibly at intervening points if the contract were for a period longer than one year.

The concept offers some exciting possibilities. For example, schools would have to have a clear statement of goals, stated in measurable terms. This in itself could result in clearer thinking about purposes and resource allocations than has heretofore been the case. Presumably some adoption of a Planning, Programming, Budgeting and Evaluating System (PPBES) would be an integral part of the process. Additionally, if the terms of the contract were to be expressed in measures of output, a system of accountability could be established. A local school district would be contracting with an agency of state government to accomplish certain agreed upon goals.

Such a system could have far-reaching implications for the method by which state funds are distributed to school districts. The concept of accreditation by contract that is based on adequate planning could result in the establishment of a system of accountability which would give legislatures and taxpayers considerable assurance about the returns to be expected for the money invested. It is not anticipated that such a procedure will result in establishing cause-and-effect relationships between inputs and outputs, but at least the outputs will have been agreed upon. This is a major step forward in itself and, if for no other reason, the experiment bears watching.

National Assessment and the Evaluation of Educational Output

One of the most ambitious, ably conceived, far-reaching projects for the purpose of gathering information about educational output is the project known as "National Assessment of Educational Progress."

In the early 1960's, as sharp criticisms were being made about education in America (accompanied by a vigorous defense), a few people were beginning to realize that not much information was available upon which to base either criticism or defense. To be sure, the U. S. Office of Education collected and published vast amounts of educational data concerned almost solely with items of input (although dropout statistics may be considered a rather gross measure of educational output). State departments of education were collecting increasing amounts of information, most of which was related to regulatory functions, or constituted an effort to establish an objective basis for the distribution of state monies to local school districts. The Regents' Examinations in New York have provided some measure of output but they were administered for an entirely different reason and were ill-suited to the type of evaluation under discussion here. Very few educational outcomes actually were being measured as a result of this increased flow of information.

State and regional accrediting agencies collected information that was largely of the input variety discussed previously. The National Education Association collected vast amounts of information on a state basis but these data were largely of input variety and seemed to be primarily aimed at demonstrating the need for higher salaries and better working condi-

tions for teachers. None of this information was of the kind that could be used as a sound basis for criticism or defense of, or for proposing changes in, education. Measurement of educational output was sorely needed.

Financed by the Carnegie Corporation and the Fund for the Advancement of Education, the national assessment movement began with the appointment of a committee under the chairmanship of Ralph A. Tyler, who earlier had directed the well known Eight-Year Study and had developed a model of evaluation that placed priority on pupil behaviors and the definition of objectives in behavioral terms. This committee, called the Exploratory Committee on Assessing the Progress of Education (ECAPE), was charged with the responsibility for exploring ways in which educational progress might be measured, for developing procedures designed to measure progress (or lack of it) on a periodic basis, and for reporting the results to the nation. The Committee recognized that the development and administration of another series of standardized tests would not provide a solution to the problem, and concluded that, if a valid and defensible method of assessing educational progress were to be devised, it would rest—not on the tools already available—but in the development of new tools that would *measure outcomes in reference to objectives* rather than norms.

The design of the current National Assessment of Educational Progress project has been carefully and systematically developed. New methods of sampling and statistical manipulation were invented to solve problems posed by the constraints imposed on the project, both by lack of full financing and by suspicion on the part of many members of the educational community. Test exercises were developed that were radically different from the usual test items on a standardized achievement test. New competencies had to be developed to prepare these exercises. It is anticipated that many side benefits will accrue from this project (now being directed through the Education Commission of the States), not the least of which will be the development of a prototype evaluation model that is based solely on output. In any event, as a result of this project, more information will be available about what children and young adults know than at any time in the history of formal education.

It behooves state education agencies to keep well informed about the procedures and results of national assessment as a basis for developing evaluation procedures that perhaps may be adaptations from the national prototype. Through such action, the evaluation of and the accountability for education can be more effectively conducted at the state as well as at the local level.

Evaluation as a Management Tool

Guba and Stufflebeam, among others, have regarded evaluation as a tool to be used by educational managers in making decisions about educational programs and processes. They define evaluation as the process of

obtaining and providing useful information for making educational decisions.[5] Evaluation thus becomes, under this concept, a tool to be used by management in the operation of the schools and is *decision oriented* rather than *conclusion oriented*. Although there can be no doubt that more valid empirical data should be available to educational decision makers than is presently the case, there will be no guarantee that those charged with making decisions will have developed the level of competency necessary to utilize properly all empirical data in the decision-making process. Put quite simply, if empirical data differ from intuitive feelings, attempts may be made in many instances to find fault with the data. This situation is somewhat analagous to that of a pilot who does not believe his instruments and prefers to "fly by the seat of his pants." The same observation could be made about any model of evaluation. One of the shortcomings of the model for evaluation discussed briefly in this paragraph is the lack of emphasis on the importance of goals and precise goal statements.

Scriven has defined evaluation from a goal-oriented point of view in the following manner:

> Evaluation is itself a methodological activity which is essentially similar whether we are trying to evaluate coffee machines or teaching machines, plans for a house or plans for a curriculum. The activity consists simply in gathering and combining of performance data with a weighted set of goal scales to yield either comparative or numerical ratings, and in the justification of (a) the data-gathering instruments, (b) the weightings, and (c) the selection of goals.[6]

One of the values of this concept of evaluation is the emphasis on goals and goal justification. Unfortunately many of the techniques needed to implement this model are not yet in existence but it offers some potential benefits not inherent in other models. The efforts of state education agencies might well be directed to the development of greater sophistication in the area of goal-oriented evaluation. Such efforts would contribute significantly to the utilization of evaluation as an effective management tool.

Cost-Effectiveness Analyses in Education

One of the tools beginning to be used by educational decision makers is cost-benefit and/or cost-effectiveness analysis. As implied by the name, it is a process of comparing input (costs or amount of resources) and output (benefits) to provide adequate information on which to base a decision. It depends on a program budgeting system (to obtain input information) and evaluation (to obtain output data).

Past Efforts in Cost-Effectiveness Analysis

Although the term *cost effectiveness* is new to education, it is not new to industry. The *concept*, however, is not new to education. In fact, a system of accountability and cost-benefit payments was proposed in England as early as 1862. According to Pfeiffer,[7] it was introduced by Robert Lowe, vice president of Britain's Committee of the Privy Council

for Education, as a "payment by results" plan. The plan provided that allocation of funds to schools would be based on pupils' grades in the three R's. The proposal and the ensuing emotional reaction resulted in Lowe's resignation two years later.

In the early 1900's the work of Frederick Taylor culminated in efforts to apply the principles of "scientific management" to education. Taylor gained fame by applying his cost-effectiveness principles at the Bethlehem (Pennsylvania) plant of United States Steel Corporation during the Spanish-American War. Efficiency experts then began to turn their attention to the public schools and many superintendents, most of whom had doubts about the value of scientific management as applied to schools, found themselves under pressure from their boards of education and the public press to apply Taylor's theories to the operation of the schools. Impossible workloads were sometimes imposed on teachers as an assumed means of increasing efficiency and saving money in much of the same manner as Taylor increased the workload in the steel company. It was said that by utilizing a system of standardization neither students nor teachers could offer excuses for inferior performances. Pfeiffer stated:

> In what amounted to a burlesque of cost-effectiveness analysis, one superintendent revealed that in his school system a dollar purchased 23.8 pupil recitations of French but only 5.9 pupil recitations of Greek—and stated that if the price of teaching Greek were not reduced, 'we shall invest in something else.'[8]

The purpose of this brief discourse into history is to emphasize the different direction of the current efforts. Many educators use the terms "cost-benefit" and "cost-effectiveness" interchangably but there are some important differences. Wildavosky[9] distinguishes between cost-benefit analysis and cost-effectiveness analysis in terms of the manner in which the outcomes of a particular system may be expressed. Where outcomes can be expressed in terms of dollars, the term *cost-benefit* is approprate. In systems in which not all outcomes (as in education) can be expressed in terms of dollars, the term *cost-effectiveness* may be more suitable. Obviously most student-oriented outcomes in education cannot adequately be converted to a dollar basis and, therefore, the term cost-effectiveness appears to be more appropriate. Since costs are almost always stated in terms of dollars, even cost-effectiveness may be inappropriate. Perhaps *resource-effectiveness* might be a better term to use in education.

Some of the virtues of cost-effectiveness analysis have been expressed by Quade as follows:

> The method of cost-effectiveness analysis provides its answers by processes that are accessible to critical examination by others, and, more or less, readily modified as new information becomes available . . . in contrast to other aids to decision making, which share the same limitations, it extracts everything possible from scientific methods, and its virtues are the virtues of those methods.[10]

The Elements of Cost-Effectiveness Analysis

In the course of a study of the application of Program-Planning-Budgeting Systems (PPBS) to local school districts, the Western New

York Study Council has identified five elements in the process of a cost-effectiveness analysis. The elements appear worthy of consideration and are as follows:

1. *The Objective.* Cost-effectiveness analysis is undertaken to choose a course of action. The analyst must first determine what the objective of the decision is, and how to measure the attainment of the objective.

2. *The Alternatives.* These are the various common sense means by which the objectives can be achieved. There should always be at least two alternatives—without alternatives, there is no need for a decision maker.

3. *The Costs.* These must be expressed in a manner that makes sense in terms of the objective. For example, one of the costs of bombing a village in Vietnam to rid it of guerrillas is the effect the bombing has in converting residents of that village to the cause of the guerrillas.

4. *Creation of a Model.* This is a representation of the situation relevant to the question being studied. The means of representation can vary, but the model provides the framework for the exercise of judgment as to what the consequences of various alternates will be.

5. *A Criterion.* This is a rule or a standard used to rank the alternatives in order of desirability so that the most promising one can be chosen.[11]

Perhaps the present state of the art has best been summarized by Cronbach and Suppes who stated, "As yet, cost-benefit [and cost-effectiveness] analysis of alternative uses of resources in education is relatively primitive."[12] However, there is reason to assume that progress will be made and that the instruments for evaluation will be improved and refined. State education agencies should be in a position to facilitate this progress by providing the leadership needed to make cost-effectiveness analysis a vital part of the educational scene.

The Responsibility for Evaluation of Education

The general public should be encouraged by the growing interest and competencies of educators in utilizing evaluation as a measure of accountability on a statewide basis and in local school systems. But a logical question to be asked by legislators and other interested citizens is: Who or what agency should be expected to assume the major responsibility for planning and conducting evaluation and cost-effectiveness analyses in such a manner that society may have confidence that the information is valid, reliable, and bias-free, and that it can be used as a basis for making intelligent decisions about education?

Should there be evaluation on a statewide basis as well as in local school systems? Henry Dyer has emphasized that:

. . . [there is a] rising demand for some procedure by which local school

> systems can be held accountable for the effectiveness and efficiency of their operations. This demand from politicians, parents, and taxpayers is not likely to go away.[13]

Dyer points out that rationally developed and educationally sound statewide evaluation programs are needed. He has indicated that the purpose of such programs would be to:

- Provide basic information for helping every student in the state assess his own progress through the educational system of the state, so that he can become increasingly mature in understanding himself, his educational needs, and his future possibilities.
- Provide the teachers and administrators in every school system with basic information for assessing the effectiveness of all the principal phases of their educational programs in sufficient detail to indicate the specific steps required for continually strengthening those programs.
- Provide the state education authority with basic information needed for allocating state funds and professional services in a manner best calculated to equalize educational opportunities for all children in all school systems of the state.
- Provide research agencies at both the state and local levels with data for generating and testing hypotheses concerning the improvement of all aspects of the educational process.
- Provide every school system with strong incentives to experiment, under controlled conditions, with new and promising educational programs, materials, devices, and organizational arrangements.
- Periodically provide the state legislature and the general public with readily interpretable information concerning the progress of the state system of education as a whole and of each local school system.[14]

Although some people probably would not agree with all of these purposes, the case is effectively made for statewide as well as local evaluation efforts. But how should this be done and who should accomplish it?

Insofar as practicable, valid objective information should be sought and utilized as a basis for evaluations of every aspect of education. Judgments based on unreliable or fragmentary evidence or on reactions that may be affected by extraneous factors should be carefully avoided. In many cases, however, the use of value judgments may be necessary, but the assumptions on which such judgments are based should always be carefully stated in an effort to avoid possible misunderstanding or misinterpretation by others.

Some Alternative Procedures

There are a number of alternatives that might be considered in the process of determining by whom or how any statewide evaluation of

education should be conducted. A few possible alternatives are discussed briefly below. The advantages and disadvantages of each should be carefully considered before any decision is made about the one to be utilized in any state. Recent changes in insights and perspectives virtually mandate that valid, constructive and continuing evaluations of education be made within each state, but this urgent need for evaluation does not indicate how it should be made.

Contracting with a Private Organization

The idea of contracting with a private organization to make the evaluation might seem to be in harmony with the current emphasis on an independent audit, but the apparent similarity in concepts does not constitute a valid reason for accepting this approach.

Some Possible Advantages

- An independent organization would presumably prepare an unbiased report.
- The credibility of the report might be greatly enhanced in the minds of many people if the evaluation were accomplished by a private organization.

Some Possible Disadvantages

- The cost of such an undertaking probably would be prohibitive, especially if the evaluation were to be made each year in enough depth to yield relevant information and useful results.
- The evaluation competencies would not have been increased within the state.
- Profit-making organizations need to keep an eye on the wishes of their clients with a view toward future business and, consequently, the report might not be as unbiased as would be desirable.
- The goals of education have not been sufficiently agreed upon and defined to enable an outside agency to develop relevant criteria by which to judge educational efforts.

Establishing an Independent State Evaluation Agency

Some people may believe that an independent state agency should be established by the legislature or the governor that would have the responsibility for the evaluation of education. Such a provision would be consistent in some respects with the independent audit concept, but would have much broader implications.

Some Possible Advantages

- A state agency outside the education establishment could, presumably, provide an unbiased evaluation.

- Some evaluation competencies could be developed at the state level by state employees who are not directly concerned with education.

Some Possible Disadvantages

- A "big brother" or a "watchdog" syndrome could easily develop.
- The goals of education may well become confused with the goals of the evaluation agency and, in fact, could be dictated by it.
- The goals of education have not been sufficiently agreed upon and defined to enable such an agency to develop relevant criteria that could be used to judge educational efforts.
- The ability of education agencies and personnel to plan and conduct valid evaluations and to assume more responsibility for accountability in education might even be decreased.

Requiring Evaluation by Legislative Mandate to Local School Systems

Under this alternative, local school systems would have the major responsibility for meeting a legislative mandate for evaluation. The legislature could specify certain kinds of data to be gathered in order to ensure some uniformity in procedures for collecting and reporting information. This information could then be assembled, collated and analyzed and reports prepared by an agency designated by the legislature such as its own research council or the state education agency.

Some Possible Advantages

- Local school districts would be actively involved in certain aspects of evaluation activities.
- Some evaluation competency might be developed at the local level.

Some Possible Disadvantages

- Legislative requirements, once established, are often difficult to change.
- This process could tend to become largely a routine procedure for collecting and analyzing information.
- Many school districts would not have the competency necessary to implement the mandate.

Requiring the State Education Agency to Assume the Major Responsibility

Under this alternative, state education agency personnel would work with school districts in: stating, defining, and specifying goals; translating goals into measurable terms; and developing performance criteria for measuring the degree of achievement of the goals. The state education

agency would be responsible for providing the leadership and services needed to develop and apply the performance criteria. Cost-effectiveness analyses could be undertaken by state and local officials, and budgets and state aid requests developed at least partly on the basis of these studies. The state might then finance education primarily on the basis of a "promise to perform," and in effect a contract would exist between an agent of the state (the state education agency) and local school districts.

Some Possible Advantages

- Goals would be mutually arrived at and agreed upon and clearer statements of goals would exist for most school districts than is presently the case.
- Valid evaluations that would be of maximum benefit to everyone could be obtained.
- An active, viable partnership between state and local levels would be encouraged.
- Local school systems would be held accountable in an educationally defensible manner, and local responsibility would be enhanced.

Some Possible Disadvantages

- The competencies required do not presently exist in many state education agencies.
- Unless perceptively planned, the "evaluation" could result primarily in a statewide testing program.
- Unless local school systems are meaningfully involved in the planning as well as in the implementation, there would be little increase in local accountability.

Summary and Conclusions

Many of the procedures and techniques utilized to evaluate education during prior years have been inadequate, inappropriate, or ineffective. These relatively limited attempts at evaluation will not suffice to meet current or emerging needs. Recent changes in society, and the consequent need for more and better education, have resulted in demands for much better evaluation and greater accountability. These demands cannot be ignored.

The urgent need for more effective evaluation and better accountability in education has been emphasized by many people. For example, Schutz recently made the comment:

> Congress, state legislatures, and local school authorities must face the reality that unless they patronize more effective research, clinical experimentation, and program evaluation for education as a whole, what they pour directly into compensatory education may bring indifferent and ineffable results.[15]

Although significant progress has been made recently, much more needs to be done to develop valid techniques for evaluation. A substantial proportion of the funds allocated for educational research should be devoted to the support of research in evaluation methodology. Only through a concerted effort can the evaluation techniques demanded by a changing society be developed that will provide a defensible basis for determining the quality of output of the educational system.

Because each state has the basic responsibility for education in this country, state education agencies should be in a strategic position to provide the leadership and services needed to improve evaluation and accountability in education. As improvements are made in education and better learning opportunities are provided throughout each state, both students and taxpayers will benefit from the changes.

As state education agencies improve their competencies in the areas of evaluation and accountability, not only will their ability to provide the leadership and services needed to plan and effect necessary changes in education throughout the state be enhanced, but they also will be in a better position to assist local school systems in many ways including:

- Developing meaningful goals;
- Translating goals into measurable terms;
- Developing criteria needed to measure progress in the achievement of these goals;
- Utilizing these criteria effectively;
- Interpreting the results to determine what changes are needed;
- Planning and effecting the necessary changes; and
- Developing and implementing appropriate procedures for evaluating education and its components, and for appraising and reporting on progress not only in achieving each specific goal, but also in achieving the major purposes of education.

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[13]Henry S. Dyer, "Statewide Evaluation — What Are the Priorities?", *Phi Delta Kappan*, Vol. LI, No. 10 (June 1970), p. 558.

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APPENDIX

Improving State Leadership in Education

Some Implications from Title V, Section 505, ESEA Projects

Title V, Section 505 projects, authorized on the basis of provisions in the Elementary and Secondary Education Act of 1965 as amended, have been designed to provide assistance *in strengthening state education agencies* in accordance with the major purpose identified by this section. More than 40 multi-state projects have been funded since this law was enacted. Some of these have provided primarily for conferences; others for short duration efforts involving only a few states; and still others for longer duration cooperative endeavors. Some more recently funded projects are currently in operation—notably, the nine regional projects for State Planning and Program Consolidation, the National Educational Finance Project, and the project concerned with Improving State Leadership in Education.

In this appendix the major purposes and some of the implications for improving state leadership in education of 17 of these projects are discussed briefly. All of the projects selected for special consideration here have: (1) been substantially completed prior to the beginning of the current fiscal year; (2) produced publications or other materials that should be of interest to all states; and (3) contributed insights or concepts that have been helpful in preparing this publication.

A brief description of the *purposes,* and an analysis of the *implications* of each of these projects is presented below.

The Role and Policy Making Activities of State Boards of Education

Project Direction: Project Executive Council, Duane J. Mattheis, Chairman

Participating States: Arkansas, Colorado, Connecticut, Georgia, Minnesota*, New Mexico, Ohio, Oregon, Pennsylvania, South Dakota, and West Virginia

Duration of Project: April 1966 through September 1967

Purposes. This project was designed to: (1) assist states in identifying, organizing, and utilizing appropriate policies to guide the operations of state education agencies, and (2) augment the knowledge and effectiveness of state boards of education in their leadership roles and policymaking practices.

Some Implications. It is apparent on the basis of the findings of this project that state boards of education should place more emphasis on developing directional

*The administering state for each project is identified by an asterisk.

type policies—that is, position statements concerning the carefully considered conclusions of the members of a state board of education that should serve as guidelines for further development of the responsibilities and functions of the state education agency. These policies should reflect the informed judgment of the state board of education in meeting the challenge of new societal demands for education.

* * *

Policies for State Boards of Education

Project Director: Ronald L. Smith

Participating States: Arkansas, Colorado*, Michigan, New York, Ohio, South Dakota, and West Virginia

Duration of Project: April 1968 through December 1968

Purpose. The major purpose of this project was to improve state education leadership through the strengthening of the policymaking activities of state boards of education. The project was designed to:

- Identify areas and their subdivisions where state board policies might be needed;
- Classify and categorize these areas into a logical framework;
- Develop a series of alternative examples of state board policies for a selected number of policy areas that were judged to be most significant;
- Include the organizational structure and the alternative policies in a document to stimulate and assist state boards of education in their policy considerations; and
- Orient state board of education to the use of the document.

Some Implications. State leadership in education is enhanced when the state board of education through its policymaking activities strives to:

- Take significant steps to ensure that the goals for education in a state are being defined and achieved in the local school districts;
- Stimulate and assist local school districts to improve the quality of public education;
- Encourage local flexibility in operation within the broad, future-oriented and far-reaching framework that is established by the state board; and
- Ensure the effective and economical operation of public schools throughout the state.

* * *

Designing Education for the Future

Project Director: Edgar L. Morphet

Participating States: Arizona, Colorado*, Idaho, Montana, Nevada, New Mexico, Utah, and Wyoming

Duration of Project: December 1965 through June 1969

Purpose. The primary purpose of the Designing Education for the Future project was to assist the people in each of the participating states to anticipate the changes that are likely to take place in this country, in the eight-state area, and within each state during the next ten to fifteen years, and to plan and implement improvements

that should be made in educational programs, organization, and finance during that period.

Some Implications. The project, through a series of conferences, publications and filmstrips, and extensive involvement of representatives from various groups, emphasized that the major role and function of every state agency for education should be to provide competent and effective leadership and appropriate services in planning and effecting improvements in education. If this responsibility is to be assumed realistically and implemented effectively, it would seem that, in each state: (1) both long- and short-range planning must be recognized and accepted as a continuing responsibility; (2) the organizational and staffing patterns of state education agencies will need to be re-examined and probably changed in many states; (3) the climate for planning will need to be favorable and adequate resources will have to be provided; (4) substantial agreement will need to be reached on aspects for which the state department staff is to assume a major planning responsibility, and on those for which it is to play primarily a service, facilitating or coordinating role; and (5) along with other pertinent responsibilities, the agency should encourage and assist local school systems and institutions of higher learning to identify promising innovative practices, to plan for their implementation, and to provide for the evaluation of their contributions to the improvement of education in the state.

* * *

Comprehensive Planning in State Education Agencies

Project Director: Bernarr S. Furse

Participating States: Colorado, Connecticut, Iowa, Texas, Utah*, West Virginia, and Puerto Rico

Duration of Project: March 1967 through September 1969

Purpose. Through this project, each of the participating state education agencies attempted to bring together dispersed planning functions in order to develop a comprehensive, integrated educational planning program. The new planning capability was aimed at effecting the maximum utilization of resources in the development of the state educational program and providing optimum services and leadership to the local school districts.

Some Implications. The state department of education should be the leadership center at least for the state system of elementary and secondary education, contributing significantly to the improvement of state and local education programs and having available the resources in each of its programs to provide leadership throughout the state. Comprehensive educational planning is a critical component of these leadership activities. Because of the need for effective and efficient utilization of all resources affecting an area, state or region, comprehensive planning should place heavy emphasis on the coordination of functional planning activities conducted by the various planning agencies that have a significant impact on social, economic, and physical development. Local initiative and responsibility should be encouraged and stimulated in the process. State department services should supplement rather than supplant local planning.

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Comprehensive Planning for the Improvement of Education in Appalachia

Project Direction: Education Advisory Committee, Vernon Alden, Chairman

Administration: The Appalachian Regional Commission, Washington, D. C.

Duration of Project: May 1968 through September 1969

Purpose. The purpose of the project was to undertake immediate and long-range planning for utilizing federal, state, and local resources to improve rural education in the Appalachian region.

Some Implications. In order for comprehensive planning to materialize, there is need for state education agencies to establish *working* relationships with local school districts, regional educational improvement laboratories, institutions of higher learning, regional educational improvement projects and centers, and other agencies of government. Priorities for planning have to be identified and state education agency effort directed to these priorities. The value of area or regional approaches to educational improvement should be considered in developing programs requiring substantial local investments.

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Project Public Information for Improvement of Communications and Public Information Programs for State Educational Agencies

Project Director: Richard Gray

Participating States: Colorado, Florida, Hawaii, New York, Washington, West Virginia, and Wisconsin*

Duration of Project: December 1965 through April 1969

Purpose. The project was designed to assist state education agencies in improving their effectiveness in communicating the condition, progress, and needs of education. Project goals were to: assist states to develop policies concerning the agency's role in providing public information; train personnel in public information services; evaluate and improve existing communications practices and develop new techniques; undertake communications research and obtain current information for state agencies; provide services to local schools; and facilitate the exchange of information with other states.

Some Implications. There is a definite need to inform the public about the problems and needs of education. Although every state education agency may utilize a somewhat different approach in meeting the need, there are some basic considerations in developing sound public information systems. The state agency should:

- Establish written public information policies;
- Establish guidelines for achieving policy goals;
- Establish a public information office capable of achieving these goals;
- Establish close links between the information office and the various news media in a state; and
- Provide necessary professional assistance when necessary for effective communication.

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Interstate Certification of Teachers and Other School Personnel

Project Director: Alvin P. Lierheimer

Participating States: California, Connecticut, Illinois, Kentucky, Michigan, New Jersey, New York*, North Carolina, Ohio, Pennsylvania, and Rhode Island

Duration of Project: January 1966 through September 1970

Purpose. **The ultimate aim of the project was to meet the challenges resulting from mobility among teachers and other school personnel through a viable mechanism for interstate certification based upon mutual acceptance of qualified graduates of state-approved programs of teacher education. The project sought to develop a pattern with appropriate guidelines for interstate certification and the implementation of this approach in a group of states.**

Some Implications. **State education agencies should provide the necessary leadership to make interstate certification of teachers possible. This objective implies that states should seek legislative agreement to delegate the power to the state education agency to enter into interstate compacts, and to adopt enabling legislation to validate the agreements. Such action can help to eliminate injustices that range from inconvenience to outright denial of opportunities for service for many persons qualified as educators.**

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Multi-State Teacher Education Project

Project Director: Howard E. Bosley

Participating States: Florida, Maryland*, Michigan, South Carolina, Utah, Washington, and West Virginia

Duration of Project: December 1965 through August 1969

Purpose. **The project emphasized the improvement of professional laboratory experiences in teacher education and the development and use of educational media—especially videotapes and their application to student teaching.**

Some Implications. **Although the seven participating states in the Multi-State Teacher Education Project (M-Step) developed different approaches to the problem, the project directed attention to the need for each state education agency to become the *center* for coordination and improvement of teacher education. The need for greater cooperation among institutions of higher learning, local school districts, the state education agency, and related agencies concerned with teacher preparation was emphasized. Cooperative effort is necessary in order to provide teachers and prospective teachers with the learning experiences that can serve to further their effectiveness with students.**

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Strengthening State-Local Relationships in Urban Education

Project Director: William D. Firman

Participating States: California, Illinois, Maryland, Michigan, New York*, Pennsylvania, and Texas

Duration of Project: June 1966 through June 1968

Purpose. The aim of the project was to assess and improve the relationships between large city school districts and state education agencies. Through coordination of efforts, the project attempted to demonstrate that state education could and should strengthen their services to large city school districts.

Some Implications. State education agencies generally have not provided much assistance to large city school districts. This project emphasized that state education agencies:

- Have an obligation to become involved with and assume leadership in city planning concerned with education, health, recreation, and welfare.
- Need to assess and assist in reconstructing the financial support for large urban communities.
- Provide leadership in developing appropriate federal legislation and programs for urban education.
- Provide assistance to urban school systems in research and development, in curriculum, and in the supervision of instruction.

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Guidelines for Improvement of State Education Agency Personnel Administration, Including Fair and Equal Employment Opportunities

Project Director: Lloyd N. Morrisett

Participating States: California*, Connecticut, Delaware, Ohio and Oklahoma

Duration of Project: April 1966 through June 1968

Purpose. The purpose of this project was to examine existing personnel practices within a selected group of state education agencies and, as appropriate, other related state agencies. This examination was directed toward determining sound staff procurement and utilization practices as well as equal rights and opportunities.

Some Implications. Improvements in personnel administration should come about when state education agencies: (1) establish an independently administered agency operating under *merit* principles; (2) employ top professional staff; (3) establish personnel policies and practices designed to facilitate the achievement of *educational* objectives; (4) adapt appropriate practices in recruitment, pay, classification, training, and benefits pertinent to the needs; (5) develop effective two-way internal communications; and (6) stress "personnel planning" functions such as: staffing projections, organizational development, salary program, and personnel development.

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Facilitating Desirable Change in the Educational Program for Children and Youth

Project Director: Edward T. Brown

Participating States: Alabama, Florida, Georgia*, North Carolina, South Carolina, and Tennessee

Duration of Project: January1966 through February 1969

Purpose. This project designated as a Regional Curriculum Project, sought to identify and examine the roles of state education agencies in providing instructional leadership and services to local schools to facilitate needed changes in the educational program.

Some Implications. Through a series of status studies on the role of state education agencies in instructional improvements, descriptive monographs on local projects and numerous workshops, the project pointed to the need for each state education agency to act as a stimulator of ideas and to become involved in stimulating innovative educational practices in its state. The agency should provide the leadership needed to initiate changes in educational programs that are based on research and evaluation and serve to disseminate information about defensible programs within and without the state.

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Midwestern States Educational Information Project

Project Director: Sam W. Bliss

Participating States: Colorado, Illinois, Indiana, Iowa*, Kansas, Michigan, Minnesota, Missouri, Nebraska, North Dakota, Ohio, South Dakota, and Wisconsin

Duration of Project: January 1966 through September 1970

Purpose. The major purpose of the Midwestern States Educational Information project (MSEIP) was to attempt, with the help of representatives from participating states, to develop and design an information system that could provide ready access to pertinent and accurate educational information for the use of educational administrators and others. The system was designed to serve as a guide for state education agencies in revising and improving their information systems in expanding their leadership capabilities.

Some Implications. State education agencies need to develop adequate systems that will provide the information needed in decision making. There appears to be a need to decrease duplication of effort in educational data collection, processing, and dissemination. The use of an adequate and effective educational information system would serve to enhance the state education agency's position of leadership and provide a sound basis for better and more comprehensive planning and for improving the public's understanding and acceptance of a state's educational goals, programs and problems.

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Great Plains School District Organization Project

Project Director: Ralph D. Purdy

Participating States: Iowa, Missouri, Nebraska*, and South Dakota

Duration of Project: March 1966 through September 1968

Purpose. The Great Plains School District Organization Project attempted to provide assistance to state education agencies in resolving problems relating to school district organization.

Some Implications. The project pointed to the need for state education agencies to provide leadership in:

- Bringing about an increased awareness on the part of professional and lay groups of the need for adequate school district organization;
- Analyzing and clarifying the role of professional and lay organizations in school district organization;
- Developing guidelines to be used to implement programs for school district organization as a part of state plans;
- Providing comprehensive programs of quality education to meet the needs of all youth in all parts of the state;
- Clarifying the role, function, and need for intermediate units or districts;
- Planning for adequate and appropriate follow-up services for districts that have been reorganized;
- Developing an awareness within each state of the relationships between tax structures and rates and school district organization; and
- Providing data, information, understandings, and insights essential for the introduction and enactment of adequate legislation for school district organization.

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New England Assessment Project

Project Director: Phillip Annas

Participating States: Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island*, and Vermont

Duration of Project: February 1966 through September 1969

Purpose. The major purpose of the project was to develop and utilize assessment instruments, appropriate data collecting procedures and compatible data processing systems within the participating states. Such instruments and systems should be useful in: identifying problem areas; measuring progress; interchanging ideas; strengthening local control; improving decision making; facilitating communication; improving research; and providing information banks.

Some Implications. State education agencies should endeavor to help local educators to:

- Identify problem areas;
- Initiate remedial measures and measure progress;
- Provide means for local districts to exchange information and ideas; and
- Strengthen local responsibility by providing a source of adequate information for decision making.

Compatible data collecting and processing capabilities both within and among the states are needed to facilitate interstate communication and to increase the information banks of the state agencies. The effectiveness of cooperative state efforts in improving education thus could be enhanced.

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Encouragement of Summer Activities for School Age Youth

Project Director: Louis Romano

Participating States: Florida, Illinois, Michigan*, New Jersey, Ohio, and Pennsylvania

Duration of Project: April 1966 through September 1967

Purpose. The project, known as Teen-Age Opportunity Programs in Summer (TOP), constituted an attempt to develop criteria and guidelines for state education agencies to utilize in encouraging summer activities for school-age youth. The project was oriented to a study of the nature of the problem of meeting the needs of youth and an examination of existing and promising programs for youth in the summer months.

Some Implications. This project pointed to the need for the state education agency to provide leadership by:

- Service as a coordinating agency in state level planning and in the pooling of human resources for the improvement of summer programs for youth;
- Assisting local communities to develop a program of activities that are systematically related to the social and economic conditions which youths face; and
- Obtaining finances and resources for the initiation and expansion of summer programs for youth.

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The Development of State Leadership for Improving Educational Opportunities of Farm Migrant Children

Project Director: Ernest J. Paramo

Participating States: Arizona, California*, Delaware, Florida, Oregon, and Washington

Duration of the Project: March 1966 through December 1967

Purposes. The major purposes of the project were to: (a) develop an interstate pupil record system for farm migrant children; (b) facilitate inter-agency coordination of migrant programs and services within states; (c) develop appropriate resource materials for school systems; (d) initiate plans for improving in-service training of teachers of migrant pupils; (e) develop interstate plans for coordinating educational programs and services for migrant pupils, and (f) develop a model for expanded interstate activities concerning the special educational problems of farm migrant children.

Some Implications. State education agencies need to become concerned with and involved in the special educational problems faced by persons who experience high mobility in the society. State leadership should be provided in the development of a network for communications and information exchange to expedite the effectiveness of the educational programs afforded these students. There is need for cooperation among and coordination with the various agencies concerned with the general problem.

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Regional Educational Agencies Project—International Education

Project Director: Severo Gomez

Participating States: Alabama, Louisiana, Tennessee, and Texas*

Duration of Project: January 1966 through August 1970

Purpose. The International Education Project was designed to introduce an international dimension into the work of the participating state education agencies and to develop channels of communication between educational leaders within and without the United States in order to foster better understanding and exchange of ideas.

Some Implications. The leadership of the state education agency is necessary to relate international education to state programs of curriculum development and teacher education and certification, and to assist local school districts in making use of the resources inherent in international education programs. School-to-school projects involving a two- to three-year exchange of teachers, pupils, curriculum, materials and ideas need the *active* support of state education agencies.